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ABSTRACT

The following papers of relevance to second language instruction are compiled here: (1) "Bilingual Math in a Monolingual Classroom: A Field Study," by Elizabeth M. Baricevic; (2) "Ideologie et pedagogie: reflexions sur le manuel de francais au programme de '3e annee secondaire' en Algerie," by Jeanne Adam; (3) "Pedagogic Grammar and Applied Linguistics," by Barrie E. Bartlett; (4) "Verb Tenses and Time in the Discourse," by Marcial Prado; (5) "Word-Final Phoneme-Grapheme Correspondence in French," by O. W. Rolfe; (6) "The Role of Listening Comprehension in L2 Acquisition," by Wilfried M. Voge; and (7) "The Story of 'de' in Mandarin Chinese: Linguistic Functions and Usage," by Lucia Yang. (JB)

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# BILINGUAL MATH IN A MONOLINGUAL CLASSROOM: A FIELD STUDY

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It has been said "Bilingual education has come of age." Be that as it may, bilingual education has reached the stage in its contemporary development when research is crucial to its continuation, continued growth, support and, perhpas, survival. Only through research can it convince the doubting, encourage the hesitant, and inform the unknowing that an ongoing bilingual-bicultural program can be developed and maintained within the confines of the regular classroom.

Of the research that has been done so far, most has been done in a bilingual classroom on minority children whose first language is not English. Bilingual laws also are focused mainly on children-speakers of languages other than English.[1] And yet, bilingual education can be of value to the monolingual English-speaking child as well.[2]

This paper deals with a field study conducted by Mrs. Betty Walker[3] for the M.S. in Education degree in 1977-78, under the direction of the author. For several years the researcher had been incorporating Spanish language and culture into her second grade class at Bilquist Elementary School, North Clackamas 12, in Oregon; first as part of a social studies unit, in the form of names, numbers, colors, and dance. Gradually, she extended the knowledge of numbers and colors to math instruction and the use of Spanish to general classroom instructions. The response and eagerness of the children led to their desire for more, aroused the enthusiasm of parents, and the interest and eventual support of colleagues and the administration.

A fellow teacher who has lived and taught in Colombia, Nelson Smith, was particularly impressed, helpful, and encouraging. In response to a call from the district for proposals for innovative programs, the two teachers submitted the idea of a bilingual multi-grade classroom. Their porposal was accepted. It called for implementation of a 1-3rd grade bilingual classroom in the fall of 1978. Thus, the researcher's Master's program was tailored to meet her bilingual needs and goals. In particular, the field study--or research problem--was geared to a bilingual situation, stated in bilingual terms and set in a bilingual context. The enrollment at Bilquist school was, and essentially still is, monolingual. The setting for the research, the first grade at Riveria school in La Grande, was also monolingual. The principal and first grade teachers were enthusiastic about the field study, and as it turned out, the children were excited about learning a second language, or more precisely, about using a second language in the process of learning it. Riveria school is located in a lower socio-economic area and the pupils are not exceptional children, in the usual sense of the term.

Because Mrs. Walker felt that her pupils had learned at an accelerated speed and achieved more than students using only English, in addition to using a second language comfortably and meaningfully, she made this the basis for her research: Will pupils taught addition facts in English and Spanish show no greater achievement gains than those taught using only English. She would thereby determine whether math concepts could be learned as readily in a bilingual situation as in a monolingual situation, and whether monolingual English-speaking children would be able to learn math concepts in Spanish.

Research of the literature showed that similar studies had been conducted in various parts of the world, in Canada, the United States, and Ireland.

In Quebec, Canada, in what is known as the St. Lambert Experiment, English speaking children were placed in a French speaking kindergarten while French speaking children were placed in an English speaking program. A test in mathematics at the end of the second grade showed that both groups performed better in arithmetic than the English control classes, leading to the possible conclusion that this might be because of the second-language instruction.[4]

This experiment was duplicated in Spanish in Culver City, California. At the end of the first grade the pupils were average in English, reading, and spelling, and ahead in mathematics skills.[5]

The Irish experiment, in 1962, showed that apparently it benefited neither the second language nor mathematics.[6]

In 1962, at Nye School in Texas, children taught in both English and Spanish--whether Spanish speaking or English speaking--learned mathematics better than when taught in one language.[7]

In Toronto, Canada, the same result was obtained. Taught mathematics in both English and French, then tested in English, every grade (1-6) was one year beyond grade level in arithmetic and problem-solving.[8]

Mrs. Walker based her study of bilingual math in a monolingual classroom on the definition of bilingual education as "the teaching of two languages and using them as mediums of instruction in any or all parts of the curriculum. Since language is inextricably bound to culture, the study of both cultures is integral to bilingual education."[9] Although she accepted the definition of monolingual classrooms

as one where 80% of the students speak the same language, the classrooms in which her study was conducted included only monolingual English speaking pupils. The teachers were likewise monolingual English speakers.

For a period of one month--November 2 to December 2--Mrs. Walker taught the experimental class to count and to read the number words from one to twenty in Spanish. They also were taught nine color words.[10] This was done 20 minutes a day, to provide the children with the tools necessary to learn addition facts in Spanish.

Various techniques were used to equip the children with a working math vocabulary in Spanish. Generally, the instruction was oral. Color sheets were used to reinforce both math and color vocabulary. The classroom teacher had already given the children similar papers in English so that only instruction in the application of Spanish was necessary.

One month later, after the Christmas holiday, there was a twenty minute oral review of the Spanish vocabulary. Four days later, January 6, a five-minute pre-test on addition facts with sums to eighteen was administered to both the experimental and the control group, with identical instructions in English.

The actual study took place from January 10 to February 15, twenty minutes a day each day for a period of six weeks. Both groups were given the same work, oral and written, and exposed to the same teaching devices--games, matching sheets, crossword puzzles, color sheets, cut and paste sheets.[11] These materials were all prepared by Mrs. Walker. English was used in the control group, Spanish and English for the experimental group.

The day following the six week period, on February 16, the pre-test was repeated as a post-test, a five-minute test of one hundred problems of addition facts to sums of eighteen.[12]

On the pre-test, the mean achievement score of the monolingual control group was higher than that of the bilingual experimental group (5.11 higher). On the post-test the experimental group scored higher than the control group (8.28 higher). The average mean difference (25.27) of the bilingual experimental group on the two tests was almost double that of the control group (12.64).

Statistically, it was necessary to normalize the groups. A computerized analysis of covariance showed no significant difference between the groups, and the conclusion had to be accepted that pupils taught addition facts in English and Spanish show no greater achievement gains than those taught using only English.

The difference between the mean gain scores of the two groups seems to provide evidence, nevertheless, that teaching number facts in two languages has value in the classroom. Previous research supports this conclusion as well.

The study would indicate that math concepts <u>can</u> be learned as readily in a bilingual situation as in a monolingual situation, and that the monolingual English-speaking child <u>can</u> learn math concepts in Spanish.[14]

Other considerations,--namely that a larger, random-selected sampling would have given more accurate data; and that the short duration of the study, the brief classroom period, the restriction of concepts to addition facts precluded the reinforcement of language or concepts of a normal classroom day--together with the significant difference in the mean gain of the two groups, led Mrs. Walker to conclude at the end of her research, that the study should be replicated with an adequate population over a longer period of time during a normal classroom day.

The present experiment at Bilquist could provide documentation for this type of study and its subsequent analysis. It would be interesting to share these with you at another time.

Some further conclusions can be drawn from this research. The implementation of bilingual instruction is not an impossible dream; it need not be restricted to Spanish; fluency in two languages is neither a necessity nor enough in itself to create a bilingual teaching situation; the absence of bilingual pupils in a classroom does not impede the establishment and development of a bilingual classroom. One can imagine the results in an ideal situation--a classroom of bilingual pupils with a teacher who is bilingual, involved in and dedicated to the implementation of a bilingual-bicultural classroom.

## Notes

[1] T. Andersson and M. Boyer, <u>Bilingual Schooling in the United States</u>, Vol. I (Washington, D.C.: U.S. Government Printing Office, 1970), p. 84.

[2] J. W. Kobrick, "The Compelling Case for Bilingual Education," <u>Teaching the Bilingual</u>, ed. F. Pialorsi (Tucson: The University of Arizona Press, 1974), p. 178; and M. Met, "Bilingual Education for Speakers of English," <u>Foreign Language Annals</u>, 11, No. 2 (Feb. 1978), 34-40.

[3]Betty M. Walker, "Bilingual Math in a Monolingual First-grade Classroom," Thesis, Eastern Oregon State College, 1978.

[4]W. E. Lambert and G. Richard Tucker, Bilingual Education of Children: The St. Lambert Experiment (Rowley, Mass.: Newbury House Publishers, Inc., 1972), p. 105. See V. N. Beebe, "Spanish Comes Alive on la Isla Caribe," Phi Delta Kappan (October 1978), 95-98; and F. Genesee, "Acquisition of Reading Skills in Immersion Programs," Foreign Language Annals, 12, No. 1 (Feb. 1979), 71-77.

[5]R. J. Cornejo, A Synthesis of Theories on the Effects of Teaching in First and Second Languages (Austin, Texas: National Educational Laboratory Publishers, Inc., 1974), p. 91.

[6]Ibid., p. 27.

[7]Andersson and Boyer, p. 56.

[8]Ibid., p. 83.

[9]J. Carey, A Comprehensive Design for Bilingual-Bicultural Education (Chicago: Chicago Board of Education, 1974), p. 91.

[10]Walker, pp. 14-20.

[11]Ibid., pp. 21-37.

[12]Ibid., pp. 38-40.

[13]Ibid., pp. 41-42.

[14]See W. M. Perel, "Mathematics in Bicultural Education," Bilingual Education, ed. L. Golubchick, H. LaFontaine, and B. Persky (Wayne, N.J.: Avery Publishing Group, Inc., 1978), 325-29.

# IDEOLOGIE ET PEDAGOGIE: REFLEXIONS SUR LE MANUEL DE FRANÇAIS AU PROGRAMME DE "3e ANNEE SECONDAIRE" EN ALGERIE

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L'Algérie qui figure sur la carte de la francophonie, est officiellement bilingue et, depuis l'indépendance (1962), tous les enfants du pays apprennent le français aussi bien que l'arabe. L'enseignement relevant d'un ministère, les programmes sont uniformes et les ouvrages scolaires doivent être agréés par l'Institut pédagogique national, organe officiel, dont l'une des tâches est de fournir des manuels à l'usage de toutes les écoles du territoire.

Pendant un séjour à Alger en avril-mai 1978, il nous a été donné d'examiner les quatre manuels de français utilisés dans le premier cycle de l'enseignement secondaire, ouvrages publiés en 1968 sous les auspices de l'Institut pédagogique national. Nous voudrions ici nous livrer à quelques réflexions sur le contenu du recueil de morceaux choisis destiné aux élèves de "3e année secondaire."

Pourquoi donner la préférence au manuel de 3e année plutôt qu'à l'un des trois autres? Essentiellement en raison de son niveau littéraire et de son algérianisation. En effet, tandis que les manuels de 1e et 2e années offrent un choix de textes assez élémentaires portant sur la pratique de la langue et que celui de 4e année n'est guère algérianisé, rendant par là son étude peu significative, l'anthologie de 3e année aborde la langue littéraire et se caractérise par une volonté explicite d'algérianisation. De plus, alors que le dernier ouvrage de la série ne contient pas d'introduction, le manuel de 3e année s'ouvre sur une "présentation" qui porte la signature de l'Institut pédagogique national et qui révèle les intentions idéologiques et pédagogiques qui ont présidé à l'élaboration du recueil. Celui-ci a été composé par une équipe d'enseignants en fonction de trois principes directeurs:

1) adapter le contenu à la réalité algérienne et le rendre conforme aux "options" du pays;

2) faire accéder les élèves à un nouveau degré de connaissance du français écrit;

3) ménager "une transition entre le monde de l'enfant et de l'adolescent et celui de l'adulte [et fournir] des sujets propres à inciter à la réflexion des adolescents de 14 à 16 ans," âge des élèves de 3e année secondaire.

De toute évidence, le souci majeur de l'Institut pédagogique national est d'ordre idéologique en fonction de quoi ont été sélectionnés les textes. Ceux-ci, d'après l'introduction, reflètent l'aspect social, économique, culturel de la réalité algérienne pour faire mieux connaître et mieux comprendre à l'élève son propre milieu et le préparer ainsi à s'intégrer dans la société. D'autre part, la préface souligne la conformité des thèmes abordés aux "options" du pays. Qu'est-ce à dire? Il s'agit des trois options démocratique, scientifique et révolutionnaire qui font partie en Algérie du discours officiel et qui, étant connues de tous n'ont pas besoin d'être explicitées dans un ouvrage qui s'adresse à des Algériens.

Abordons maintenant le contenu proprement dit du manuel qui se divise en deux parties. La première, de quelques deux cents pages, est formée de 107 extraits groupés en quinze thèmes différents et empruntés pour une bonne part à des écrivains algériens. La seconde, sous le titre "Lectures suivies et dirigées" propose des extraits d'auteurs français du XVIIe et du XIXe siècles, se conformant à peu près en cela au programme en vigueur jusqu'à une date assez récente, dans la classe de 4e des lycées français. C'est ainsi que quatre scènes de L'Avare, trois du Bourgeois gentilhomme, quatre passages des Misérables, trois d'Eugénie Grandet et deux extraits d'une nouvelle de Maupassant occupent les cinquante dernières pages du recueil.

Concentrant notre attention sur la première partie qui se veut et qui est algérianisée--on compte en effet 25 passages d'écrivains algériens pour 51 d'écrivains français--nous allons, à la lumière des intentions exprimées dans la préface, tout d'abord examiner les extraits qui se rapportent à l'Algérie géographique; puis, après avoir considéré les passages consacrés aux "Portraits" d'une part, à "la Vie sociale" de l'autre, nous étudierons les textes relatifs aux thèmes de "la Liberté" et du "Passé."

Sous les deux rubriques "Notre pays" et "Paysages," les huit extraits qui portent sur l'Algérie sont tirés, en parties sensiblement égales, d'oeuvres d'auteurs algériens et d'écrivains européens (français et suisse). Trois sur quatre des passages empruntés à ces derniers traitent du sud algérien, région à peu près absente, il est vrai, de la littérature algérienne de langue française née aux environs de 1950 Du texte de Pierre Loti "Vent de sable dans le désert" qui date de la fin du XIXe siècle aux "Gorges du Rhummel" de Charles Ravussin qui était correspondant de la presse suisse en Afrique du Nord au cours des années 50, en passant par "Coucher de soleil à El Oued" d'Isabelle Eberhardt morte prématurément en 1904 et par "Féérie du sud algérien" de Jean Grenier qui fut au lycée d'Alger le professeur de philosophie de Camus, tous ces extraits présentent une Algérie vide de personnages, plus ou moins teintée d'exotisme, l'Algérie des étrangers, des voyageurs. Souvent récits de type touristique, les passages précités soulignent tous, d'une part, l'étrangeté et la grandeur du cadre, d'autre part, l'importance de la solitude. Celle-ci, pour Isabelle Eberhardt, permet de s'adonner profondément à la contemplation de la nature

aux couleurs féériques. Chez Jean Grenier dont le texte, malgré le titre qu'on lui a donné, tend en partie à démystifier l'image exotique du sud, le désert est avant tout une révélation pour l'homme: son immensité, d'abord inquiétante pour l'esprit, devient progressivement une invitation à la retraite. Le désert, lieu d'élection de l'aventure spirituelle, c'est, en somme, un thème bien connu des premières décennies de notre siècle depuis Psichari et le Père de Foucauld.

Dans un manuel qui se veut "adapté à la réalité algérienne," le choix des quatre textes précédents a, tout d'abord, de quoi surprendre. En effet, s'ils insistent sur la beauté, la couleur, la grandeur des paysages qui peuvent mener l'homme à un dépassement de lui-même, ils représentent néanmoins une Algérie intemporelle, un peu mythique, presque irréelle, très éloignée assurément de la vie quotidienne des élèves; pour ces derniers, dans le contexte socio-politique actuel où l'on met de plus en plus l'accent sur l'industrialisation du pays, le sud algérien évoque, sans doute, bien davantage des puits de pétrole que le silence, la couleur et la magie du désert.

Cependant, en regard de ces images usées de régions merveilleuses, le manuel montre un autre visage de l'Algérie, celui d'un pays ancré dans la réalité vivante, et cela grâce à quatre passages d'oeuvres d'écrivains algériens publiées entre 1950 et 1965. Deux des extraits portent sur la Kabylie, les deux autres sur Alger. "Tizi," texte de Mouloud Feraoun consacré à une agglomération kabyle se signale par un parti pris de contre-exotisme; de plus, il révèle la présence de l'homme en liant la description à l'attachement au pays natal et en montrant le caractère et les préoccupations des habitants. De même, plus encore que "Panorama d'Alger" de Mouloud Mammeri, le poème d'Anna Greki "Algérie, capitale Alger" manifeste la présence humaine. Sans doute le plus original de tous les textes ayant trait à l'Algérie géographique, ce poème rend la description du site inséparable d'un vécu historique en remontant du présent vers le passé et en évoquant l'audace, le mouvement d'une ville tournée vers l'aventure, vers la mer et les célèbres courses.

Ainsi les textes de Mouloud Feraoun, Mouloud Mammeri et Anna Greki représentent l'Algérie d'aujourd'hui vue par des Algériens en contraste avec l'Algérie d'hier, celle de la colonisation peinte par les Européens.

Dans la série de "Portraits" que propose le manuel, on peut se demander pourquoi aucun des six extraits n'est signé d'un auteur algérien. En effet, à côté d'une traduction de Cervantes, on trouve une fable de la Fontaine, un texte de Courteline, un de Gide et deux de La Bruyère, les inévitables portraits de La Bruyère inscrits depuis des générations au programme des lycées français. De même, fidèle à la tradition scolaire française--au moins jusqu'en 68--le manuel présente sous la rubrique "Vie sociale" un extrait de Flaubert qui aurait pu trouver place parmi les "Portraits"; il s'agit là encore de l'inévitable "vieille servante" par laquelle des milliers de lycéens français ont commencé à connaître l'auteur de Madame Bovary.

Que penser de l'orientation des textes consacrés à la "Vie sociale" et empruntés à des auteurs de cinq nationalités différentes (algérienne; belge; française; russe; sud-africaine)? Très semblables aux extraits groupés sous le titre "La Peine des hommes," ils mettent uniquement l'accent sur la pauvreté et le travail manuel. En privilégiant ainsi le peuple, les classes laborieuses à qui vont les faveurs du régime socialiste, les textes choisis sont certainement conformes au discours officiel; toutefois, le tableau misérabiliste qu'ils brossent de la société est loin de refléter la réalité, faite, en Algérie comme partout ailleurs, de diverses couches sociales.

"Liberté" est le titre d'un chapitre où l'on s'attendrait à trouver des passages relatifs à la guerre de libération. Or, sur huit extraits, on ne compte que trois textes d'auteurs algériens dont deux poèmes symboliques consacrés aux prisonniers et aux morts. Si ces passages favorisent le culte des héros, ils ne rendent pas compte de ce que fut l'ampleur et la diversité du combat dans l'ensemble de l'Algérie et dans les différentes couches de la population. Et pourtant dès le début des années 60 des écrivains algériens ont montré de nombreux aspects de la guerre de libération dans son déroulement quotidien. On peut s'étonner en particulier que l'on n'ait rien emprunté à des ouvrages d'un niveau littéraire accessible aux élèves de 3e année secondaire et dont les auteurs figurent déjà dans l'anthologie. Nous pensons entre autres à Un été africain[1] de Mohammed Dib, au Journal 1955-1962[2] de Mouloud Feraoun, aux Enfants du nouveau monde[3] d'Assia Djebar, à l'Opium et le bâton[4] de Mouloud Mammeri. Pourquoi donc avoir délibérément écarté ces oeuvres engagées? C'est, nous semble-t-il, pour des raisons politiques ou plus exactement d'insécurité politique. En effet, entre 1965 et 1968, c'est à dire au moment où le manuel était en préparation, le régime de la jeune république algérienne paraissait mal assuré. Rappelons à ce propos certains événements qui, de 1965 à 1968 ont agité l'Algérie tout en révélant au grand jour les rivalités et les dissensions idéologiques de quelques-uns des anciens chefs de la révolution: en juin 1965, le colonel Boumédiène renverse le président Ben Bella par un coup d'Etat et devient, à son tour, chef du gouvernement; en décembre 1967 a lieu une tentative du putsch suivie, en février 1968, de la découverte d'un complot et, deux mois plus tard, d'un attentat manqué contre le président Boumédiène. Dans ce climat d'instabilité et alors que les orientations du nouveau gouvernement étaient encore incertaines, on comprend que les auteurs du manuel aient fait preuve d'une extrême prudence dans le choix de textes qui pouvaient avoir des implications politiques.

Ceci explique, sans doute, que pour symboliser l'amour de la liberté et l'esprit de résistance on ait préféré à des oeuvres récentes d'écrivains algériens, trois passages d'une pièce de Frederico Garcia-Lorca, Mariana Pineda publiée en 1927 et dont l'action se situe au XIXe siècle. Cependant des raisons

d'ordre psychologique n'ont certainement pas été étrangères à cet emprunt à la littérature espagnole. En effet, lors de la publication de l'anthologie, en 1968, l'Algérie entrait à peine dans sa sixième année d'indépendance. La lutte de libération était encore trop proche, chargée de souvenirs trop douloureux pour que l'on puisse aborder ce sujet avec assez de détachement; d'où la préférence donnée à une héroïne du siècle dernier, étrangère de surcroît, qu'il était donc possible de considérer avec suffisamment de recul et d'objectivité, et en qui, toutefois, se reconnaissaient les Algériens des années 60, car la situation de la jeune Espagnole ne pouvait manquer d'évoquer des souvenirs récents de la mémoire collective.

Le chapitre du manuel qui réunit la plus grande proportion d'extraits d'auteurs algériens (quatre sur six) est assez paradoxalement celui qui a pour titre "Le Passé." Or, ce que présentent ces textes, n'est ni le passé récent de la colonisation française ni celui des invasions du VII[e] et du XI[e] siècles qui ont fait de l'Afrique du Nord une terre d'islam, mais uniquement le passé fort lointain de l'Afrique romaine. Choix surprenant à première vue. Cependant, si pour des raisons politico-psychologiques que nous avons exposées plus haut, les auteurs du recueil ont préféré abolir par le silence le temps de la colonisation française, il ne faut pas oublier, par ailleurs, qu'en Algérie, tout ce qui touche à la religion n'est pas du domaine du français, langue profane, mais de celui de l'arabe, langue sacrée. C'est donc au cours d'histoire ou au cours d'enseignement religieux qu'il appartient de traiter, dans la langue du Coran, des invasions arabe et hilalienne.

Quant aux passages relatifs à l'Afrique romaine, les titres sont révélateurs: Masinissa, Jugurtha, Juba, Tacfarinas, autant de personnages historiques qui furent sinon en révolte ouverte contre les Romains, tout au moins en désaccord avec eux. Ces textes se caractérisent par une double orientation: d'une part, ils tendent à démystifier la "pax romana" en montrant qu'elle a eu pour effet l'asservissement des anciens habitants du Maghreb et l'exploitation des richesses de l'Afrique du Nord, grenier à blé de Rome; d'autre part, ils exaltent les chefs du Maghreb qui se sont soulevés contre les Romains. Il va sans dire que ces extraits sont anticolonialistes et qu'il est facile de les lire à deux niveaux, tant le parallèle s'impose entre l'Afrique romaine et un passé récent, encore très vivant dans la concience collective. Ainsi donc, par le biais de l'Afrique latine on peut aborder la colonisation française.

Ce n'est d'ailleurs pas la première fois dans l'histoire idéologique de l'Algérie que l'on rapproche l'Afrique du Nord française de l'Afrique romaine. On sait, en effet, qu'il y a un demi-siècle environ, une certaine école de pensée, à la suite de l'écrivain Louis Bertrand, s'appuyait sur l'héritage latin de l'Afrique du Nord pour y justifier la présence française. D'après Louis Bertrand "L'Afrique française d'aujourd'hui [1920], c'est l'Afrique romaine qui continue à vivre [. . .] En rentrant en Afrique, nous n'avons fait que récupérer une province perdue de la Latinité."[5] La colonisation française assurait donc "La Résurrection de l'Afrique latine,"[6] titre d'une conférence faite par l'écrivain à Alger en 1922.

On comprend aisément que Louis Bertrand et tous les auteurs de littérature dite "coloniale" aient été exclus de l'anthologie qui nous occupe. Mais pourquoi n'y trouve-t-on aucun des grands noms de la littérature française qui se sont imposés à partir des années 30 ou 40? Il semble que l'on ait voulu écarter systématiquement tous les écrivains français qui avaient vécu la guerre d'Algérie. Le grand absent est évidemment Camus mais aussi le poète Jean Sénac qui, pourtant, avait pris la nationalité algérienne; on peut également s'étonner qu'il n'y ait rien de Frantz Fanon, ce Martiniquais qui avait épousé la cause de l'indépendance de l'Algérie, qui était devenu citoyen algérien et dont les écrits sur le colonialisme, notamment Les Damnés de la terre[7] font autorité. Peut-être faut-il faire ici la part d'un nationalisme un peu étroit qui accompagne souvent les jeunes indépendances et rappeler que le climat politique de 1965 à 1968 obligeait sans doute les auteurs de l'anthologie à une grande circonspection dans le choix des textes comme dans celui des écrivains contemporains. D'un autre côté, on ne peut nier un souci d'ouverture littéraire dont témoigne la place non négligeable réservée à des auteurs africains ainsi qu'à des traductions d'oeuvres espagnoles et russes.

Malgré tout, ce premier manuel algérien d'après l'indépendance se signale par une fidélité évidente aux modèles français de recueils de morceaux choisis en usage au cours des années 50 où les auteurs du XIX[e] siècle occupaient la place d'honneur. Pour l'Institut pédagogique national algérien, Balzac, Flaubert, Hugo et Maupassant présentaient le double avantage d'être des classiques de la littérature française et d'avoir disparu bien avant que de sérieux conflits n'éclatent entre l'Algérie et la France. Quant aux textes d'écrivains algériens, nous avons vu qu'ils avaient été plutôt choisis en fonction de leur neutralité que de leur engagement. C'est dire que cette anthologie n'a rien de révolutionnaire. Une autre est en préparation. Gageons que le contenu en sera très différent.

Notes

[1]Paris, le Seuil, 1959.

[2]Paris, le Seuil, 1962.

[3]Paris, Julliard, 1962.

[4]Paris, Plon, 1965.

[5]Louis Bertrand, Les Villes d'or (Paris: Ollendorf, 1920), préface, p. 6.

[6]Louis Bertrand, "La Résurrection de l'Afrique latine," L'Afrique latine, 15 mars 1922, pp. 181-201.

[7]Paris, Maspéro, 1961.

# PEDAGOGIC GRAMMAR AND APPLIED LINGUISTICS

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Applied linguists attempting to bring the findings of linguistics to the field of second-language teaching have always tended to regard the preparation of text-books as one of their prime areas of concern.[1] Thus, besides being an applied linguist (in terms of making use of descriptive or contrastive analyses), the text-book writer is also something of an applied psychologist (espousing a particular learning theory) and an applied educator (adopting certain educational goals and perhaps a specific methodology). The combination of these fields of expertise has produced innumerable second-language text-books answering, in some degree, the immediate and very practical needs of thousands of SL teachers in thousands of SL classrooms. However, one of the weaknesses of the contribution of applied linguistics to SL teaching lies in this very concern with providing pat, ready-made answers to predictable problems rather than with furnishing a framework for the SL teacher to arrive at his own solutions to these as well as to the non-predictable and diverse questions that arise in every classroom and for which most manuals present no answers.

This paper attempts to sketch a rationale for what will be called a pedagogic grammar. The pedagogic grammar will be considered to combine a theory of language and a language-specific grammar, both modified by the concerns and objectives of the SL classroom. In short, such a pegagogic grammar is an <u>applied</u> grammar in that the ends to which it is applied will, in part, determine its form.

The introduction of such pragmatic considerations raises a crucial and generally unstudied problem for applied linguists, namely, the type of relation that may be deemed to exist between a pure theory and an applied theory. Thus, as far as the physical sciences are concerned, such a relationship is implicitly understood to be one-to-one. For example, the chemistry practised by the pharmicist does not differ in its theoretical principles or in its "rules" from that practised by the research chemist. However, a more mundane example clearly indicates that an applied science that has a pedagogic objective can lead to simplification, selection, and modification of various theoretical aspects of the pure science in order to achieve a specific set of pedagogic goals. The design for a practical course on housewiring is certainly not a science course on electricity; the principles of electricity are selected and modified on a "need-to-know" basis. It is interesting to note, however, that the principles of applied electricity will nevertheless be formalized within the system of conceptual representation furnished by the pure science, that is, by the use of circuit diagrams.

It will be taken as axiomatic that a pedagogic grammar, inasmuch as it is an applied grammar, may select, simplify, and modify the material provided by "pure" linguistics, with the condition that such selection, simplification, and modification not entail distortions so gross as to invalidate completely theoretical principles. Thus, a grammar of housewiring that distorted the principles of electricity to the extent that the would-be housewirer ran the risk of electrocution would lack both pedagogic value and theoretical validity.

The needs of the SL teacher to meet the standard objectives of most SL courses go far beyond the need for well-designed material and text-books. At various times, the SL specialist can expect to play a variety of roles both in and out of the classroom. He can expect to be involved in curriculum development, to be responsible for the planning of courses within a curriculum (with the attendant problems of the evaluation and selection of text-books), and finally to plan and teach lessons within the course with the chosen materials. While the responsibilities connected with these different roles vary in detail, they have in common the requirement of a knowledge <u>of</u> and a knowledge <u>about</u> the second language. Thus, the decisions required imply considerations of <u>quantity</u> (What will be taught?) and <u>order</u> (When will it be taught?). A pedagogic grammar--in that it must supply knowledge <u>about</u> the target language--should be expected to play a part in arriving at these decisions.

In terms of his more obvious role inside the classroom, the SL teacher can at least be expected to motivate his students to learn, to establish educationally and pedagogically sound objectives, to provide well-founded pedagogic materials (i.e. for presentation, practice, testing, and evaluation), to be capable--if course objectives so demand--of teaching grammar formally, and finally, to be prepared to deal intelligently with a wide range of student questions which can be characterized as requests for knowledge <u>about</u> the language, e.g. Why does French make the adjective and noun agree? A coherent pedagogic grammar as we have defined it should obviously be capable of assuring validity to the way in which all these facts of life in the language classroom are handled. Thus, there would seem to be little pedagogical or intellectual value in a situation where a teacher can, on the one hand, expatiate accurately on the noun and adjective agreement in French and yet, on the other hand, furnish only ill-founded rationalizations in answer to that question, "Why does French make the adjective and noun agree?"

The SL student may also be considered to play a variety of roles. First, of course, he is a "performer." Thus, depending upon the particular objectives established for the course, the student is expected to perform appropriately in the four skills. At some point in the learning process, the student is nearly always expected to play the role of "analyst," inasmuch as, as a potential speaker or writer of the target language, he is expected to monitor his performance for its accuracy. At times, he is also

more formally called upon to apply analytical techniques to language data and to make descriptive statements even if only of an elementary nature. At a more advanced stage of study the SL learner is required to play an evaluative role in the sense that he is expected to evaluate the performance of other users of the language in terms of style, usage, and appropriateness. Finally, the SL learner will react in his role of inquirer rather than as simple skill-getter; that is to say, he will inquire about the object of study and thereby pose some of the myriad questions that philosophic man has always posed about language and its functioning. Certainly no experienced language teacher fails to recognize the importance of this facet of language teaching in terms of the general motivation of the student and, in some ill-defined sense, even in terms of his successful functioning as performer, analyst, and evaluator.[2]

Although no theory of language and no grammatical description can be exhaustive, it is not unreasonable to expect that their combination in a pedagogic grammar be capable of providing a well-founded, coherent, and consistent framework for answering the needs of both teacher and student. The balance of this paper will therefore consist of a sketch of such a pedagogic grammar envisaged for the teaching of French. As indicated, it will encompass an applied theory of language and the outline of an applied formal grammar of French. The very fact that both parts of the pedagogic grammar are characterized as applied entails our earlier conclusions that each will represent a selection, simplification, and modification of concerns more fully elaborated by "pure" linguistics; the criterion for these decisions is purely informal and utilitarian, i.e. how useful is the statement or description in answering the perceived needs of teacher and student?

For brevity's sake, this applied theory of language is presented by a non-exhaustive series of postulates and definitions:

1. Language is an oral and written code used to communicate.

2. There is no necessary relation between the oral code and the written code.

3. While in terms of acquisiton by the native speaker the oral code precedes the written code, the written code is generally historically older than the oral code in its present synchronic state. Thus, written French reflects more closely the oral code of Old French than of Modern French.

4. Like all codes, language has content and expression.

5. In language, content and expression are encoded in those areas of systematic organization known as semantics, lexicon, syntax, morphology, and phonology.

6. Expression has both form (as represented by the abstract systems of the syntax, morphology, and phonology) and substance (or real-world existence as either phonetic sounds or graphic symbols).

7. Language employs two basic principles of organization, namely, structure (e.g. noun group, verb group, sentence, syntagm) and system, that is, sets of commutable items such as the French definite articles. Such systems may be closed or open, and sometimes a set consists of other sets, as for example the French determiner set.

8. The language code is determined by certain characteristic principles among which are:

   a. Redundancy: or the requirement that certain information in various parts of the code be encoded in more than one way. Thus, in the written code of French, plurality is encoded redundantly in the determiner, the noun, the adjective, and the verb. Similarly, the existence of synonyms in the lexicon represents a form of redundancy, while in the orthographic code of French the sequence P-T-T- is interpretable as PETITE or PATATE partly on the basis of redundancy in the syllable structure.

   b. Economy: the principle of economy to some extent counteracts the principle of redundancy. It is frequently manifested by the employment of a specific feature of the code for more than one purpose. Thus, in the lexicon, the definite articles le and la imply the semantic features of "male" as opposed to "female"; when applied to non-animate nouns they encode a variety of different information, as for example, in the different meanings of le and la trompette. Additionally, le and la also function as clitic pronouns. Similarly, the existence of homophones in the oral code (mer, mère, maire) and of homographs in the written code (voile/voile, aussi/aussi) represents a form of economy.

   c. Non-maximalization: language never makes use of all the systematic possibilities open to it. It is essentially this principle that allows the sequence P-T-T- to be interpreted solely as PETITE or PATATE rather than *PUTUTE or any other phonologically possible sequence. In part, it is this principle that accounts for such SL errors as false analogy, e.g. *vous faizez for vous faites.

   d. Binarity: language makes use of the binary principle. Thus French opposes masculine to feminine, singular to plural, tonic to non-tonic, etc.

   e. Markedness: as a manifestation of the binary principle, one member of the binary opposition is frequently seen to be the marked term in that its form characteristically permits the prediction of the form of the other term of the opposition. For example, in the oral code of French, many feminine adjectives are marked by the presence of a final consonant that is predictably deleted to give the masculine form; prediction of the feminine form from the unmarked masculine form is not possible.

f. Recursivity: in its organization of structures, language permits the re-use of a structure within a structure enabling it to produce a theoretically infinitely long message. Compound structures and complex sentences exhibit this characteristic of recursivity.

g. Conspiracy: language is an evolving and therefore everchanging code. A particular manifestation of the principle of economy appears to consist of a principle whereby, over the course of time, the rules of a language "conspire"--that is, affect and modify each other--with a view to reducing the number of possible message forms. It is this principle that accounts for the structural and semantic ambiguity of such French forms as: L'explorateur a trouvé l'île isolée; J'ai demandé au garçon de partir; Le poulet est prêt à manger; Les deux garçons se frappent.

The concepts embodied within this theory of language viewed as code constitute a powerful means of thinking about language and of talking about its problems. As the metatheory to a language-specific grammar, it represents a coherent body of concepts that give epistemological foundation to that grammar.

The following sketch of an applied formal grammar of French is a modified form of a generative-transformational model incorporating a phrase-structure grammar, a lexicon, and a transformational component.

The simple sentences of French constitute a number of sentence types characterizable as Declarative (as opposed to Interrogative or Imperative or Exclamatory), Affirmative (as opposed to Negative), Active (as opposed to Passive), and Neutral (as opposed to Emphatic).[3] The Declarative, Affirmative, Active, Neutral sentences of French (which we shall call the DAANs) comprise a limited number of structures specifiable in terms of a phrase-structure grammar itself consisting of a small and finite set of rewrite rules of the nature S — NP + VP, NP — Det. + N, etc. The DAANs produced by such a PSG undergo only the two fundamental transformations of subject/verb agreement and adjective/noun agreement.

Early pedagogic problems relate to variations of sentence type. Thus, the Interrogative, Affirmative, Active, Neutral sentence (the IAAN) is produced by applying one of a set of possible transformations to the structure specified by the PSG rules. In short, what is taught is not interrogatives but interrogativization. The different types of simple sentences represent modifications of a basic underlying structure by means of the transformations of Imperativization, Negativization, Passivization, and of Emphasis. Unlike the "pure" transformational grammar, this applied model has no need to characterize formally the transformations involved. For example, whereas it is possible and indeed necessary to state formally the alternative processes involved in the interrogativization transformation within a transformational grammar, the applied model simply needs to be able to specify that such interrogativization in French is achieved either by a change of intonation pattern, by pre-posing Est-ce que, or by pronominalization and inversion. Even such an ad hoc specification of the transformations involved is sufficient to indicate the different degrees of complexity and their pedagogical significance. If there is no need for the applied grammar to become involved in the representational complexities of the transformations, it is nevertheless essential that the character of the possible transformations be understood. Thus, transformations of the structures produced by the PSG may involve addition (as in the pre-posing of Est-ce que), displacement (as in subject-verb inversion), substitution (as in substituting interrogative intonation for declarative), or deletion (which occurs in complex sentences).

The applied formal grammar here being adumbrated as part of the pedagogic grammar has the advantage of treating many of the basic problems of SL teaching as processes rather than categories. Interrogativization, imperativization, passivization, etc. change the basic sentence type. Similarly, other pedagogically intractable data can best be treated by transformational processes. Thus, many of the problems of the French pronoun system are best treated under the rubric of a Pronominalization transformation that sees noun groups (rather than nouns) replaced. Complex sentences within the model are generated within the PSG by the introduction of a recursive S—attached to a NP for relative clauses, dominated by a NP for noun clauses, and attached to the principal sentence or to its VP for adverbial clauses. Basically, these complex sentences are seen to depend on such transformations as Relativization, Nominalization, and Infinitivalization, in turn specifiable as combinations of the basic processes of addition, deletion, substitution, and displacement.

An applied grammar is not, and cannot be, exhaustive. The basic format of the grammar outlined here takes no account, for example, of the French Qu questions of an idiomatic nature (Quel âge avez-vous? Quel temps fait-il?) and their idiomatic responses. In point of fact, the absence of an account of these sentences from the grammar underscores an important aspect of the problem of the selection of SL material. Thus, beginning French courses tend to devote what is frequently an inordinate amount of time to what may be called these "paraphernalia" structures or the conversational baggage that speakers are believed to bring to the dialogue situation. The applied grammar can therefore be used as some form of evaluation instrument in the selection of material and in striking a balance between the non-productive paraphernalia structures and the productive structures and processes specified within the grammar. As such an instrument, the grammar lends itself to the specific quantification of course content, i.e. which structures and how many? and to the ordering of that content, i.e. interrogativization by Est-ce que before by inversion, or Why does this particular text relegate the tonic pronouns to lesson XVIII and is such a decision valid given their importance in the Emphasis transformation?

Depending upon the degree of psychological reality that one is willing to attribute to the model upon which it is based, the applied grammar can be useful in evaluating the artificiality of the pedagogic

exercises used in the SL classroom. For example, although one may recognize intuitively that teaching and testing relative pronouns with exercises requiring the combination of main clauses is inappropriate, the transformational model clearly provides one measure of this artificiality. The applied formal gramm may therefore be an aid to indicating the possible form and progression that pedagogic exercises relating to specific grammatical points should take.

In the same way that the teaching of the principles of housewiring employs the conceptual representations furnished by its underlying science, so will the applied formal grammar take advantage of the representational flexibility of the generative-transformational model. The tree-diagrams that display the relationships implicit within the rewrite rules of the PSG have the advantage of being consistent, especially when compared with the essentially ad hoc and arbitrary diagrams which individual language teachers use to explicate grammatical concepts. Thus, if formal grammatical concepts are to be taught--either as a formal objective of the language class or as an informal discussion on language--the dentograms elaborated within the generative-transformational model are of great use in explicating functional concepts and in giving graphic reinforcement to functional definitions.

In conclusion, then, a pedagogic grammar consisting of an applied theory of language that gives epistemological foundation to an applied formal grammatical description can be seen to provide a broad yet solid basis for answering to a wide variety of SL teaching needs. In the application of the findings of linguistics to the field of SL teaching, applied linguists should perhaps pay greater attention to the elaboration of the broad epistemological and explanatory frameworks that such pedagogic grammars can provide, thereby furnishing the SL teacher with a body of consistent and coherent principles and with the possibility of reaching sound solutions to his own pedagogic problems.

## Notes

[1]See, for example, James S. Noblitt, "Pedagogical Grammar: Towards a Theory of Foreign Language Materials Preparation," IRAL, X, 4 (1972), 313-31.

[2]"Of course the task of the language teacher is to teach a language. Nothing is justified in the language classroom that does not contribute to that end. My experience, however, has been that some reasoned introduction to pertinent general principles of language can expedite learning enough to make it a real bargain. An hour's worth of such comments scattered approximately into relevant contexts can speed the learning by two hours. But even more important than that, it can make a noticeable improvement in the quality of the students' language learning and, hence, of their communicative competence." H. A. Gleason, "Linguistics and Language Teaching," English Quarterly, XI, 2 (1978), 28.

[3]For an elaboration of this classification see Jean Dubois and R. Lagane, La nouvelle grammaire du français, Larousse (1973), 14-16.

# VERB TENSES AND TIME IN THE DISCOURSE

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In most treatises available on verb tenses,[1] the morphological characteristics of the different tenses are given in terms of features such as [past], [perfective], etc, and even morphemic formatives such as [haber -do], [estar -ndo]. Base rules for the assignment of these features are generally of the type X → Y W (Z). Rules of this type are not explanatory in that they do not account for conditions under which selection of appropriate features takes place, nor for the function of a given feature in the entire sentence.

We must look for a deep structure specification that will determine selections of this type according to the semantic input, and which will explain how each feature interacts with the rest of the sentence and with the discourse. To illustrate this approach we have chosen the element time, which is one of the most important notions that affect choice of tenses in Spanish. This treatment differs from traditional sequence-of-tenses approaches in that it incorporates specific features that can be assigned and traced unequivocally from deep to surface structure and vice versa.

The semantic content of a narrative discourse is a series of episodes or events that follow one another along a time sequence: ## Episode 1 # (Episode 2) # . . . # Episode n ##. Regardless whether these are actual happenings or are imagined by the narrator, we will refer to them as real events, and to the chronological order in which they supposedly take place as the real order of events. We will symbolize the semantic content of each episode by one or more formulas of the type P x y, where, as in predicate calculus, P stands for a variable predication, and x and y for two of the arguments involved. Since in the narrative discourse time is an essential element, we will add a time specifier, such as t. A sequence consisting of three episodes can be represented as ## P x y $t_1$ # P x y $t_2$ # P x y $t_3$ ## in which the value t increases at each boundary.

The process of telling a story entails essentially mapping a semantic structure into a syntactic structure which will in turn produce a string of one or more sentences with an appropriate phonetic representation. Three episodes can be mapped into three successive sentences: #Sentence 1 # Sentence 2 # Sentence 3 #
Episode 1 Episode 2 Episode 3 . In such a case, the linear juxtaposition of sentences parallels exactly the linear progression of real time and very little or no sequential time marking will be necessary to make such order understandable: He got up early; He ate a good breakfast; He rode his bicycle to work. The narrator is not limited to the option of using three sentences for three episodes; he can group three items into one whole sentence, or combinations of two sentences: # Sentence 1 # Sentence 2 #. He got up early and ate a good breakfast. He rode his bicycle to work. Or this way: # Sentence 1 # Sentence 2 #:
Epis. 1 & 2 Epis. 3 Episode 1 Epis. 2 & 3
He got up early. He ate a good breakfast and he rode his bicycle to work.

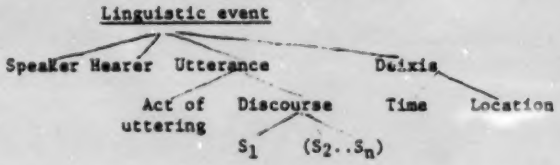
Another range of options is open to the narrator in relation to the order in which he can tell the story. While in the previous examples the narration order was the same as the real order, there are other possibilities. Instead of starting with the first episode he can start with the last, and tell the entire story retrospectively, or with the second, and then flash back and continue forward. By combining these options with those given by the grouping into compound sentences just discussed, we come up with a large number of different surface realizations of the same story. Yet there is only one simple mechanism working in all of them, namely, that when the narrative sequence and the real sequence of events do not correspond, the appropriate linguistic signals must be given, so that the original order can be reconstructed. Here are some examples of different orderings and groupings: (1) # Episodes 3-1-2 # (a) He role his bicycle to work. He had gotten up early and eaten breakfast. (b) He rode his bicycle to work after getting up early. He had eaten breakfast: (c) He rode his bicycle to work after getting up and eating breakfast. (d) Before riding his bicycle to work he got up early and ate breakfast. Another grouping: (2) # Episodes 2-1-3 #: (a) He ate breakfast. He had gotten up early. Then he rode to work. (b) He ate breakfast after getting up early, and rode to work. Etc., etc. Additional options are available through the normal processes of subordination and modification operant in the language. Some of the episodes in the story can be made subordinate to others as in (1b, 1c, 2b), or used as modifiers or time markers for the remaining events as in (1d).

A narration often includes other events, episodes, or descriptions that are subordinated to or simultaneous with the main events. There are practically no constraints on the number and placement of such secondary events; the only requisite is that they be signalled in some way as to which role they are playing. Any of the almost endless number of surface structures that can be generated by different processes of ordering, grouping, subordination, and foregrounding can be guaranteed to be well formed by the application of this constraint: in mapping a semantic structure into a linguistic structure, the real order of events and the role of events with respect to one another must be signalled.

The semantic input of a story is mapped into sentences of a specific language in a concrete speaker-hearer situation. The elements of this situation in turn exercise certain constraints on the linguistic

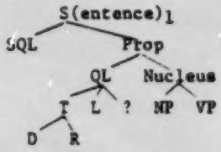
form that the story will take. A model showing the realization of a discourse as a linguistic event is as follows:

(3)




A discourse is thus one or more sentences uttered by a speaker and addressed to a hearer in a concrete time and place (and other concrete circumstances left unspecified in (3)). Now we will concentrate on how the narrative fits into this model and how time exercises its function. The sequence $S_1$ $S_2 \ldots S_n$ constitutes the text of n sentences into which a narrative input is mapped. The narrator must signal the time relationship between the events and the time of speaking, that is, the time specified in the node Time under Deixis. We will call this deictic time since it is dominated by deixis, and formulate an important constraint: Deictic time must be signalled in the sentence. Each of the items $S_1$ $S_2 \ldots S_n$ that constitute the body of the discourse have this structure:

(4)




In this tree SQL[2] stands for sentence qualifier and determines the type of illocutionary act that is being performed: Question, Assertion, Command, etc. In discussing the narrative, the only relevant feature will be Assertion. SQL also assigns discourse features such as Focus, Presupposition, Topic, etc. These features exercise certain constraints on ordering transformations later on in the derivation. QL in (4) stands for proposition qualifier and assigns certain features that range over the entire proposition, such as Time, Location, Negation. The note T under QL has two branchings: D for deictic time and R for relative time. D will signal the time relation of the event narrated to the time of speaking, and R will show the time relation between successive events. Nucleus corresponds to what has been traditionally labelled S in transformational grammar.

What we are trying to show is how this expanded deep structure specification will provide the necessary motivation for the rest of the standard transformations to apply. It will account for ambiguities and different degrees of deviance. The time sequence signals we are going to examine in Spanish are of three sorts: linear sequence, lexical items such as después (after), luego (then), etc., and verb inflections, and combinations of them. We are especially concerned with the verb inflections.

To signal deictic time in Spanish it is sufficient to indicate whether an event happened before the time of speaking or not. Anything that did not happen before the time of speaking will logically happen after. We will use the binary feature for this purpose, and divide the verb tenses into three groups according to whether they are unmarked past, past, or non-past:

| (5) | [u past][3] | [+ past] | [-past] |
|---|---|---|---|
| | cantar | canté | cante |
| | cantado | cantara | cantaba | cantará |
| | cantando | cantaría | |

The unmarked tenses by themselves do not tell when the event happened in relation to the time of speaking: they must be specified by other elements in the string and can co-occur freely with lexical time markers that indicate past time:

| (6) | Dijo que cantaría | ayer | [+ past] |
|---|---|---|---|
| | | mañana | [- past] |
| | | a las 4 | [u past] |

Marked tenses manifest a [+ past] or [- past] relation to the time of speaking, even in the absence of any other markers, and they can co-occur only with lexical markers that have the same value, or are unmarked:

| (7) | Cantó | ayer[5] | [+ past] |
|---|---|---|---|
| | [+past] | *manana | [- past] |
| | | a las 4 | [u past] |

| (8) | Cantará | ayer* [6] | [+ past] |
|---|---|---|---|
| | [- past] | manana | [- past] |
| | | a las 4 | [u past] |

Relative time (the order in which events stand in the semantic structure of the story), is also signalled in part by the verb inflections. To characterize these inflections we need two sets of binary features: [± anterior] and [± subsequent] which in various combinations will show whether an event occurred before, after, during ([+ ant] [+sub]), or at the point where the story is focused in the particular sentence. We can divide the tenses according to relative time as follows:

(9)

| [-ant][7] [-subs] | [-ant] [+subs] | [+ant] [-subs] | | [+ant] [+subs] | |
|---|---|---|---|---|---|
| canta | cante | ha | | está | |
| cantó | cantaría | hubo | | estaba | |
| cantaba | | había | cantado | estuvo | cantando |
| cantará | | habrá | | estará | |
| cantara | | ..... | | ..... | |

These features seem necessary and sufficient to characterize the time signalling function of the verb inflections. They reflect both morphological and semantic facts, and they are independently motivated on other grounds.[8]

Two other sentence qualifiers features should be mentioned that are pertinent, although not specifically related to time: first [assertion], which distinguishes the conditional and subjective tenses from the active tenses, and second [focus], which distinguishes the two past tenses preterit and imperfect. The preterit is [+ focus] and the imperfect [- focus] or background. These are illocutionary features assigned to the underlying semantic input before it is mapped into the syntactic framework. They represent the speaker's choices with respect to asserting certain facts as real, and presenting others as hypothetical, presupposed or in any way unspecified as to their reality; and his choices with respect to highlighting certain episodes as directly relevant to the story, and leaving others in the background. These choices are entirely free on the part of the speaker: he can choose to assert and/or foreground anything he wishes. We are concerned here only with what these choices do to the discourse and how they are signalled. In (10) we present a tentative chart characterizing the features of all the major Spanish verb inflections.

| Verb Forms | TIME FEATURES | | | ILLOCUTIONARY FEATURES | |
|---|---|---|---|---|---|
| | Deictic | Relative | | | |
| | [past] | [anterior] | [subsequent] | [assertion] | [focus] |
| canta | u | - | - | + | u |
| ha cantado | u | + | - | + | u |
| está cantando | u | + | + | + | u |
| cantaba | + | - | - | + | - |
| había cantado | + | + | - | + | - |
| estaba cantando | + | + | + | + | - |
| cantó | + | - | - | + | + |
| hubo cantado | + | + | - | + | + |
| estuvo cantando | + | + | + | + | + |
| cantará | - | - | - | + | + |
| habrá cantado | - | + | - | + | + |
| estará cantando | - | + | + | + | + |
| cantaría | u | - | + | - | + |
| habría cantado | u | + | - | - | + |
| estaría cantando | u | + | + | - | + |
| cante | - | - | + | - | + |
| haya cantado | - | + | - | - | + |
| esté cantando | - | + | + | - | + |
| cantara | u | - | - | - | + |
| hubiera cantado | u | + | - | - | + |
| estuviera cantando | u | + | + | - | + |
| cantar | u | u | u | u | - |
| cantado | u | + | - | u | - |
| cantando | u | + | + | u | - |

Let us examine now two examples of Spanish narrative: "Desperté a las tres de la tarde y bajé al pueblo. Vagamente volví a pensar en Lorenzo, pero ya no tenía intención de volver hasta la noche. Estaba alegre y sentía gran paz."[9] The semantic input of this passage is a series of events that can be presented by formulas of the type P x y, where specific semantic markers have been substituted for the variables. We will use actual lexical items as cover symbols, but at this deep structure level these items would not have such a form. We are omitting non-essential modifiers:

(11)
1. DESPERTAR / yo
2. BAJAR / yo / pueblo
3. VOLVER A PENSAR / yo / Lorenzo
4. Neg TENER / yo / intención
5. ALEGRE / yo
6. SENTIR / yo / paz

The first thing the speaker has to do is determine which is the specific chronological order of the events. There are three points in real time when these events take place. We can add the time marker to each event as follows:

(12)
1. DESPERTAR / yo / $T_1$
2. BAJAR / yo / pueblo / $T_2$
3. VOLVER A PENSAR / yo / Lorenzo / $T_3$
4. Neg TENER / yo / intencion / $T_3$
5. ALEGRE / yo / $T_3$
6. SENTIR / yo / paz / $T_3$

Events 1, 2, and 3 occur consecutively, whereas events 4, 5, and 6 are simultaneous with event 3. To map the real state of affairs into a spoken discourse the speaker must assign certain illocutionary features signalling which of these events are to be asserted as actually happening, and which ones are more relevant to the thread of the story and will be foregrounded. In this passage [assertion] and [focus] features are assigned as follows:

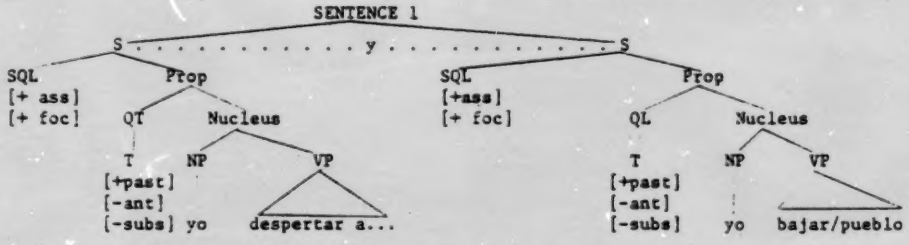
(13)
1. DESPERTAR [+ asser][+ focus)
2. BAJAR [+ asser][+ focus]
3. VOLVER A PENSAR [+ asser][+focus]
4. Neg TENER [+ asser][- focus]
5. ALEGRE [+ asser][- focus]
6. SENTIR [+ asser][- focus]

Next, the narrator decides in which order to tell the story and how to group the events into simple or complex sentences. In this case he decided to follow the real order of events and to group them by two's in compound sentences: Sentence 1 (events 1-2), Sentence 2 (events 3-4), and Sentence 3 (events 5-6). In deciding on grouping, we have 6 events which theoretically can be grouped in 32 different ways, using one to six sentences and combinations of intervening numbers. Another deep structure decision concerns the manner in which the propositions included in each compound sentence will be conjoined. In this example the narrator has used coordination in sentences 1 and 3, and disjunction in sentence 2. The semantic input is finally mapped into syntactic marker by the general process:

(14) P x y t — $S^{10}$

At the same time the illocutionary features are mapped into the SQL node. Deictic time is assigned in terms of the actual time at which the story is told; in the example at hand the entire discourse is marked as past:

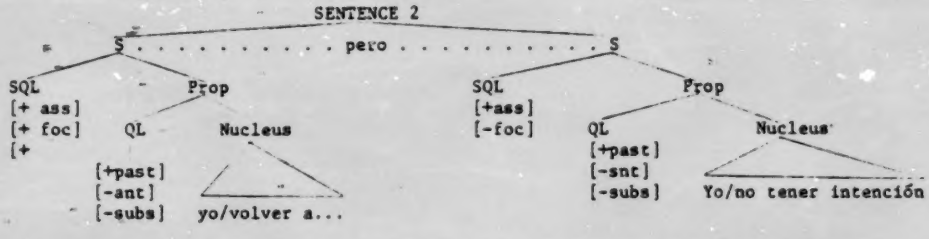
(15)




The SQL and QL features will later be incorporated into the verb and give the appropriate surface forms desperté and bajé. Since here the order in which the component sentences are conjoined parallels the real order of events, no specific sequence marker is needed, although for emphasis one could add a marker such as luego (then), después (after), etc. However, if the order of the two components had been reversed, an explicit sequence marker would be required to signal that what is told in the second place actually happened first. The verb in the second sentence would have to be marked [+ ant] [- subs]: "Bajé al pueblo. Había despertado a las tres de la tarde."[11]

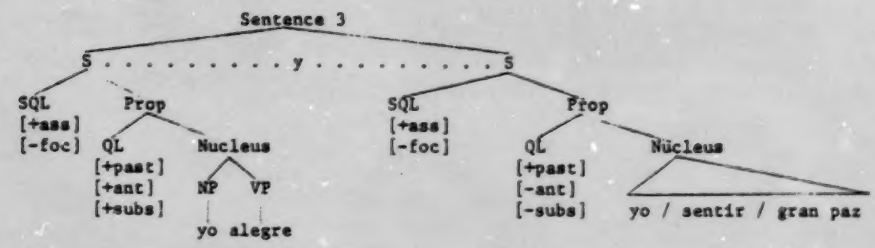
Sentence 2 has basically the same general structure except that it includes a disjunction and a focus and non-focus component to give us volví and tenía:

(16)




Sentence 3 contains two non-focus propositions. Notice that alegre (happy) is considered a verbal, having here the features [+ant] [+subs] carried by the copula estaba (was): "she was in the middle of feeling happy," as opposed to se alegró (she got happy) which would be [-ant] [-subs], i.e., happening at that time:

(17)

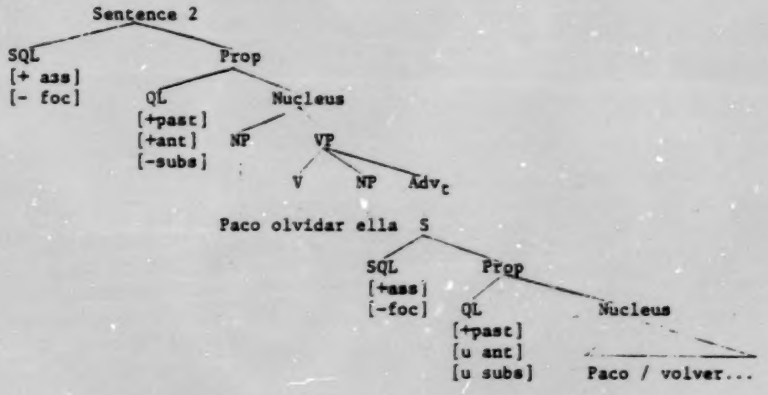



Let us examine another example: "Paco se portó decentemente en el entierro de su mujer. Pero al volver del cementerio ya la había olvidado."[12] Here the underlying semantic structure markers are the following:

(18) Sentence 1: PORTARSE / Paco / $T_1$ [+ asser][+ foc]
Sentence 2: OLVIDAR / Paco / ella (la) / $T_2$ [+ asser][- foc]
VOLVER / Paco / cementerio / $T_3$ [+ asser][- foc]

In sentence 1 the features [+ ass][+ foc][+ past][- ant][- subs] generate the surface form portó. In sentence 2 the narrator uses the last proposition as a time adverbial for the second one. Both are given as background events:

(19)




The verb of the second proposition, olvidar, is marked as [+ ant][- subs] because it appears within the time margin of the third proposition. Alternate ways of marking this passage would be: "La olvidó antes de volver del cemeterio."[13] This sentence differs from the original in that olvidar is given [+ foc], and the order of components follows the same order of the real events. Another alternate way would be "La olvidó al volver del cementerio,"[14] which differs from the original in that the forgetting and the returning happen simultaneously. Notice that regardless of the order in which the episode is told we can recover the original order in which things did happen if the proper syntactic signals are given.

## Notes

[1]Some of the works that have particularly oriented our thinking in this respect and some of the notions we are using are: William Bull, Spanish for Teachers (New York: Ronald Press, 1965) for tense and time in the Spanish verb. John Searle, Speech Acts (Cambridge: Cambridge University Press, 1970) for types of illocutionary acts. George Lakoff, Irregularity in Syntax (New York: Holt, Rinehart & Winston, 1970) for focus, topic, and presupposition. Noam Chomsky, "Some Empirical Issues in the Theory of Transformational Grammar," in Studies on Semantics in Generative Grammar, ed. by Noam Chomsky (The Hague: Mouton, 1972) for deep and surface structure and lexical insertion. Roger Hadlich, A Transformational Grammar of Spanish (Englewood Cliffs, N.J.: Prentice Hall, 1971) for surface structure realization of Spanish. Uriel Weinreich, "Explorations in Semantic Theory," in Current Trends in Linguistics, ed. by Thomas Sebeok (The Hague: Mouton, 1966) for time and aspect in the Spanish verb. David Wolfe, "A Generative-Transformational Analysis of Spanish Verb Forms," (Diss., Michigan University, 1966) for time in the verbs. Lee Ballard, Robert Conrad, and Robert Longacre, More on the Deep and Surface Grammar of Interclausal Relations (Santa Ana: Summer Inst. of Ling., 61 pp., 1971) for deep structure symbolization.

[2]This SQL is a combination of various approaches of Searle's concept of speech acts in John Searle, Speech Acts (Cambridge: Cambridge University Press, 1970).

[3]Translation and tenses: cantar (to sing) infinitive; cantado (sung) past participle; cantando (singing) present participle; canta (he sings) present; cantara (he might sing) imperfect subjunctive; cantaría (he would sing) conditional; canté (he sang) preterit; cantaba (he was singing) imperfect; cante (he may sing) present subjunctive; cantará (he will sing) future.

[4]Translation: "He said he would sing *yesterday, tomorrow, at four o'clock."

[5]Translation: "He sang yesterday, *tomorrow, at four o'clock."

[6]Translation: "He will sing *yesterday, tomorrow, at four o'clock."

[7]Note that we are not using the labels [past][subsequent] and [anterior] in the same sense as Roger Hadlich, A Transformational Grammar of Spanish (Englewood Cliffs: Prentice Hall, 1971), pp. 48-60, or Robert Stockwell, Donald Bowen, and John Martin, The Grammatical Structures of English and Spanish (Chicago: The University of Chicago Press, 1965), pp. 132-65. We are not too convinced that these labels are particularly good names, and we will be glad to change them if we can think of better ones. Notice that all the perfect tenses, such as ha cantado (he has sung), are marked as [+ ant] [- subs], whereas all the progressive forms, such as está cantando (he is singing) are marked as [+ ant] [+ subs].

[8]Among other things we can do with them: (1) a characterization of time adverbs and phrases in the lexicon, for example después (after) [u past][- ant] and [+ subs], antes (before) [u past][+ ant][- subs], mientras (while) [u past][+ ant] [+ subs], ayer (yesterday) [+ past][- ant][- subs], mañana (tomorrow) [- past] [- ant][- subs], ahora (now) [u past][- ant][- subs]; (2) an explanation of some elusive and curious facts about certain sentences such as the following: (a) The deictic time ambiguity of sentences like llega antes que yo which means either "he will arrive before I will" or "he usually arrives before I do." The ambiguity is due to unmarkedness of both verb and adverb. (b) The unambiguous explicitness of llegará mañana, "he will arrive tomorrow," because of the double specification of verb and adverb as [- past]. (c) The economy of such frequent colloquial forms as llega mañana, "he will arrive tomorrow," (literally "*he arrives tomorrow"), containing just enough specification [- past] to make it informative and non-redundant. (d) The device of llegó mañana, "*he arrived tomorrow," due to incompatibility of deictic time features of the verb and the adverb.

[9]Translation: "I woke up at three in the afternoon and I went down to the village. I thought vaguely of Lorenzo again, but I made up already my mind not to return until the evening. I was happy and I was feeling at ease."

[10]Rule (14) can be spelled out like this:

(14a) x → NP / S [__ VP], the first argument of the semantic formula becomes the Sentence dominated noun phrase, subject of the Sentence.

(14b) P → V / VP [__X], the predication becomes the verb.

(14c) y → NP / [V__], the second argument becomes the VP dominated NP, the object of the Sentence.

(14d) t → T / QL [R[__]], the time indicator is incorporated into the relational time node of the proposition qualifier.

[11]Translation: "I went down to the village I had woken up at three in the afternoon."

[12]Translation: "Paco behaved appropriately at his wife's funeral. But returning from the cemetery he had already forgotten her."

[13]Translation: "He forgot her before returning from the cemetery."

[14]Translation: "He forgot her when he was returning from the cemetery."

# WORD-FINAL PHONEME-GRAPHEME CORRESPONDENCE IN FRENCH

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For the several years that I have taught French I have puzzled along with my students over the seemingly capricious flair the language enjoys for sometimes "pronouncing" final consonants, sometimes not; and have collected a rather large personal repertoire of questionable words, which I continue to check in the dictionary with regularity. The rule that the consonants in the word "careful" can be pronounced offers little consolation: students quickly lose confidence in the rule (and also perhaps, by extension, in the rule-giver) as they meet such words as sens, and correct, of which final consonants other than the "basic four" are pronounced, or when they come into contact with the thousands of words which end in the supposedly pronounced final consonants when they are not pronounced (such as banc, parler, travail, clef).

Therefore, I asked myself the question my students often attempt to frame: What is the behavior of word-final consonants? Which ones are pronounced and how often? Faute de mieux, I have had to go in search of the answer myself. It seems indeed surprising, that since French is one of the most frequently studied and perhaps best described of modern languages, and since word-final consonants present so many difficulties to students, that no data have been compiled and made available as to the identity and frequency of word-final consonants other than, of course, intuitive observations already mentioned which are passed annually from teacher to student, and seldom taken really seriously by either.

My decision, then, was to compile data which would show in as exact a manner as possible the inventory of word-final consonants which are "pronounced." Since my orientation was essentially that of a student, the question I chose to ask was not the usual "which consonants in French are pronounced word-finally?," but rather "Which words in French have a one-to-one final phoneme-grapheme correspondence?" That is to say, when one hears a word ending in a consonant, what are the chances that the word will be orthographically represented by the same consonant? I preferred to proceed from the spoken to the written system because (1) it appears more logical to consider the spoken language as basic and the written language as a particular representation of it, and (2) in language learning, certainly in active skills classes, students usually hear the word before they see or write it.

In an exhaustive treatment of word-final consonants the phenomenon of the French phonotactic system known as liaison would need to be considered. However, my concern is more general and is directed toward the lexical system--the words containing final consonants which are always pronounced. The treatment of "latent" consonants, sometimes pronounced, sometimes not, depending upon the particular syntactic situation, would require a different approach, and has already often been presented.[1] Pedagogically also, it seems wise to treat the two separately, as students appear to identify the basic pronunciation of a word differently from its special liaison pronunciation.

My first task was to compile data concerning the presence of final phonemes in the lexical corpus of French. To do this I used the Dictionnaire Inverse de la Langue Française (DILF) which furnishes the phonemic structure in inverse order for 41,090 words of which 21,035 end in a consonant. The DILF lists the frequency of word-final consonants in decreasing order as follows:[2]

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 1. /-r/ | 5,224 | 6. /-k/ | 1,398 | 11. /-f/ | 556 | 15. /-p/ | 187 |
| 2. /-t/ | 2,776 | 7. /-z/ | 1,085 | 12. /-v/ | 471 | 16. /-g/ | 138 |
| 3. /-l/ | 2,523 | 8. /-ʒ/ | 1,085 | 13. /-j/ | 305 | 17. /-b/ | 111 |
| 4. /-s/ | 1,469 | 9. /-m/ | 1,012 | 14. /-ʃ/ | 230 | 18. /-ɲ/ | 66 |
| 5. /-n/ | 1,412 | 10. /-d/ | 723 | | | | |

An examination of the orthography of the words ending with each of the above consonants yields the following totals for those words which are also spelled with the same final consonant; they are listed below in the same order as before, together with an example for each class, and the percentage of each of the total 4,167 words.

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 1. /-r/ | 2,147 | peur | /pœr/ | 51.5% | 9. /-m/ | 169 | forum | /fɔrɔm/ | 4.1% |
| 2. /-t/ | 104 | abrupt | /abrypt/ | 2.5% | 10. /-d/ | 15 | sud | /syd/ | 0.4% |
| 3. /-l/ | 812 | naturel | /natyrɛl/ | 19.5% | 11. /-f/ | 396 | soif | /swaf/ | 9.5% |
| 4. /-s/ | 285 | moeurs | /mœrs/ | 6.8% | 12. /-v/ | 0 | | | |
| 5. /-n/ | 33 | dolman | /dɔlman/ | 0.8% | 13. /-j/ | 0 | | | |
| 6. /-k/ | 167 | avec | /avɛk/ | 4.0% | 14. /- / | 0 | | | |
| 7. /-z/ | 2 | gaz | /gaz/ | 0.05% | 15. /-p/ | 12 | cap | /kap/ | 0.3% |
| 8. /- / | 0 | | | | 16. /-g/ | 17 | grog | /grɔg/ | 0.4% |
| | | | | | 17. /-b/ | 8 | snob | /snɔb/ | 0.2% |
| | | | | | 18. /- / | 0 | | | |

The phoneme /-v/ is nowhere in the DILF represented by a word-final grapheme -v, but almost all /-v/'s are spelled ve (fleuve /flœv/). The phonemes /ʒ, j, ʃ, ɲ/ have no single grapheme word-final representation, but are usually represented gy -ge, -il, or -ille, -che, -gne respectively (sage /saʒ/, ail /aj/, poche /pɔʃ/, vigne / viɲ/).

For the purposes of this study we can eliminate the consonants with zero occurrence, reducing our inventory from 18 to 13, and consider the others on the list. The most frequent is /-r/, having a total of nearly three times that of the runner-up /-l/. However, we remember that /-r/ is also the most frequent phoneme to appear at the end of the word. Thus, the student is little better off in knowing that /-r/ is most often spelled word-finally, if it is also evident that it occurs most often word finally, rendering the chances of the occurrence of word-final /-r/ without the word-final grapheme also high. What the student needs to know, then, is the chance of a sound being spelled as it is pronounced. Thus, if we divide the total occurrence of the grapheme word-finally by the total occurrence of the phoneme word-finally, we have the percentage of phoneme-grapheme co-occurrence (PGC). For /-r/ the PGC is 41.1%. So when a student hears a word ending in the /-r/ phoneme, the chances of the word also being spelled with -r are 41.1% or, roughly, 4 words out of 10. The PGC for /-t/ is much higher: 71.2%; although the phoneme occurs much less frequently its PGC is much more consistent. Making it what is often called more "stable."

In the same order presented earlier, the PGC of the 13 phonemes is now presented:

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 1. /-r/ | 41.1% | 5. /-n/ | 2.3% | 8. /-m/ | 16.7% | 11. /-p/ | 6.4% |
| 2. /-t/ | 3.8% | 6. /-k/ | 11.9% | 9. /-d/ | 2.1% | 12. /-g/ | 12.3% |
| 3. /-l/ | 32.2% | 7. /-z/ | 0.1% | 10. /-f/ | 71.2% | 13. /-b/ | 7.2% |
| 4. /-s/ | 19.4% | | | | | | |

The phoneme /-s/ is represented by two graphemes: -s and -x with co-occurrence percentages of 16.8% and 2.9% respectively. The phoneme /-k/ has five graphemic representations: -c, -ck, -k, -ch, -q; with co-occurrence percentages, respectively, 8.7%, 1.3%, 1.1%, 0.4%, and 0.2%.

The consonants, then, with the highest PGC ratios are ?-f, -r, -l, -s, -m/. /k/ is relatively low, but is further complicated by the numerous graphemes with which it can be represented.

One further question which can be asked concerns the data presented with respect to word frequency; we have ascertained the identity and frequency of word-final consonants in a corpus of more than 40,000 words. Might not the very frequent vocabulary exhibit quite different tendencies? To investigate this possibility, I checked the 5,083 words in the Frequency Dictionary of French Words (FDFW) and found 555 words ending with pronounced consonants.[3] This yields a percentage of words with PGC of 10.9%, compared with a percentage of 10.1% for the DILF inventory. Hence, the frequency of PGC words tends to be only slightly higher within the highly frequent lexicon. The number of those consonants which appear is somewhat restricted, however, when compared with those appearing in the vocabulary of the DILF. This is clear from the following listing of totals from the FDFW.

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 1. /-r/ | 310 | 5. /-n/ | 0 | 8. /-m/ | 2 | 11. /-p/ | 1 |
| 2. /-t/ | 21 | 6. /-k/ | 21 | 9. /-d/ | 0 | 12. /-g/ | 0 |
| 3. /-l/ | 146 | 7. /-z/ | 1 | 10. /-f/ | 43 | 13. /-b/ | 0 |
| 4. /-s/ | 10 | | | | | | |

In order of decreasing frequency in each corpus the PGC words appear as follows:

| DILF | | FDFW | | DILF | | FDFW | |
|---|---|---|---|---|---|---|---|
| 1. /-ə/ | 2,147 | /-r/ | 310 | 8. /-n/ | 33 | /-p/ | 1 |
| 2. /-l/ | 812 | /-l/ | 146 | 9. /-g/ | 17 | /-z/ | 1 |
| 3. /-f/ | 396 | /-f/ | 43 | 10. /-d/ | 15 | | |
| 4. /-s/ | 285 | /-k/ | 21 | 11. /-p/ | 12 | | |
| 5. /-m/ | 169 | /-t/ | 21 | 12. /-b/ | 8 | | |
| 6. /-k/ | 167 | /-s/ | 10 | 13. /-z/ | 2 | | |
| 7. /-t/ | 104 | /-m/ | 2 | | | | |

It is clear that in the frequent vocabulary the consonants in the word careful are indeed the most frequent, although we have noted that in terms of PGC ratio and the number of graphemes for /-k/ that the situation is much more complicated than implied by the careful rule. Within the context of our teaching we need to provide students with data which give them realistic expectations concerning PGC, and with rules which, due to their basis in linguistic reality, will lead them to pronouncing and spelling the language correctly.

## Notes

[1]For one recent treatment see Albert Valdman, Introduction to French Phonology and Morphology (Rowley, Mass.: Newbury House, 1976), pp. 101-11.

[2]Alphonse Juilland, Dictionnaire inverse de la langue française (The Hague: Mouton and Co., 1965), p. 436.

[3]Alphonse Juilland, Dorothy Brodin, and Catherine Davidovitch, Frequency Dictionary of French Words (The Hague: Mouton and Co., 1970).

# THE ROLE OF LISTENING COMPREHENSION IN L2 ACQUISITION

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Communicative competence appears to be a highly desirable goal for most FL instructors and is certainly what the vast majority of FL students expect from their courses. Nevertheless, even after years of formal training, many students express disappointment that they are not able to communicate--to say what they want to say--in the target language (TL). More often than not, students are not even able to understand everyday conversation, not to mention a film or a radio program. Some students can only read a simple text with difficulty.

Foreign language instructors are, of course, painfully aware of this situation. In most instances, however, these deficiencies are seen as the inability of the student to bridge the gap between manipulative or mechanical language patterns and the creative use of these patterns in contexts which are meaningful to the student. Many instructors feel that students must be carefully led across this bridge and, therefore, they construct drills and exercises to meet this need. For example, after a formal presentation of the dative case in German, personalized drills are invented which allow students to use newly learned patterns in a familiar context. To practice dative pronouns the instructor may ask a student to hand a book to a neighbor and then ask other class members questions concerning this transaction. While contexualized practice of this type is clearly superior to traditional imitation and pattern drills employing non-related, often nonsense, sentences, such drills do not seem to suffice in developing the competence necessary for real communication in most students. According to several researchers, another factor may also inhibit a student's ability to gain communicative competence in the TL. Most recent approaches to FL teaching advocate that intensive oral practice must constitute a major part of the beginning stages of instruction. It is assumed that the more vocally active a student is, the faster he/she will become fluent in the TL. In fact, instructors often measure their own effectiveness by the oral responses of their students. Postovsky[1] and others[2] have shown that too early oral production may actually hinder the student's TL proficiency in the later stages. By delaying oral practice for 120 hours of instruction Postovsky saw a significant increase in all four Russian language skills, when compared to learners who began oral practice immediately. By developing "listening fluency" with the "Total Physical Response" approach and thereby delaying oral practice, Asher[3] also reports a positive transfer from listening comprehension to other language skills.

These findings correlate positively to evidence from child L1 and L2 acquisitions research. In many studies children demonstrate comprehension before developing the capacity for oral production.[4] Although there seem to be differences between child L1 and adult L2 acquisition, the priority of auditory comprehension appears to be valid for both processes.

Simon Belasco has characterized listening comprehension as "the most underestimated and least understood aspect of foreign language learning."[5] In this paper I hope to shed some light on the role of listening comprehension in the L2 acquisition process. It is my hypothesis that the development of listening comprehension skills not only transfers to the other language skills but may actually act as a catalyst in developing communicative fluency in the TL. Consequently, by not training students to understand spontaneous speech in the TL, they may be handicapped in reaching a high level of FL production proficiency.

Since oral production skills take much longer to develop than comprehension skills, many teachers choose to concentrate on activities emphasizing oral production, assuming that listening comprehension will take place automatically. This is simply not the case. In reality, comprehension and production must be seen as two separate events in language competence. Listening comprehension is a highly integrative skill which demands the complex decoding of phonological, grammatical, and lexical data. Oller[6] has postulated that the native speaker's grammar is a grammar of expectancy. In other words, NL grammars possess the ability to anticipate elements in sequence since they incorporate the pragmatic knowledge of the world. It seems quite obvious that the more knowledge of external reality two speakers share, the better they are able to communicate. Gillian Brown has expressed it this way: "Understanding, then, is seen as a process of prediction and sampling rather than a desperate attempt to keep up with words flashing past."[7]

Consider for a minute what happens when you come into an unfamiliar town and ask a passerby for directions.[8] If you are lucky enough to find someone who recognizes your destination and rattles off the directions, you will encounter the frustration of not being able to remember more than the first three directions, and you will be doing well if you understand them correctly and in order. The situation in a familiar town is, of course, different. If the directions involve known landmarks with which you have visual associations, you will often be able to anticipate what the next direction will be. Thus, shared knowledge of the real world may serve to aid comprehension and understanding.

There may still be another important ingredient before comprehension can take place. Stevick[9] quotes from Robert Coles' Middle Americans to demonstrate that the message needs to be meaningful or interesting if comprehension is to occur. Mere exposure to the native language will not suffice:

We don't really follow the news that closely. I'll be doing my work, changing Paul junior's diapers or washing the dishes and I'll hear the news, but when the music comes back, I'll suddenly realize that I've been listening to five minutes, five minutes of the news and I haven't heard a single word the man spoke, not a word. If you ask me what he said, I'd have to say nothing, nothing I can remember.

Hence, if comprehension in the NL makes certain demands on the listener, it only stands to reason that listening comprehension is much more demanding in the TL. It would, therefore, seem unreasonable and unnatural to expect students to master the even more complex oral skills required in oral production simultaneously with listening comprehension. There may, however, be a more compelling reason to delay intensive oral practice.

Krashen[10] has argued convincingly that adult L2 ability may develop via two independent systems: through acquisition, which is a subconscious process similar to the creative construction process in child L1 or L2 language acquisition and through learning, which is the conscious development of language skills as a result of the presentation of grammar rules, most often in formal language learning situations. Natural speech utterances are initiated in adult L2 by the acquired system, the learned system acting as a monitor which modifies the utterance to comply with TL norms. The monitor is, however, only operative when two conditions are met: the performer must have sufficient time to monitor and the performer must also be concerned with grammatical correctness.

Since the acquired system is used to initiate production in adult L2 performance, L2 fluency may be attributed to subconscious competence, not our learned or conscious competence. Acquisition is, then, more central to L2 performance than language learning. In fact, from evidence in natural or informal learning situations we learn that while everyone has the ability to acquire, learning may be limited to certain individuals.

Krashen's Monitor model, with the acquisition/learning dichotomy, is useful in explaining the role of listening comprehension in the development of L2 proficiency.

The creative construction process in adults, which we have called acquisition, is activated with intake[11] is provided. Krashen defines intake as "that input which enables the acquirer to acquire more of a TL."[12] Input, on the other hand, does not aid the acquisition process. For example, a strange language on the radio is input, not intake. Intake may be considered a subset of input.

For Krashen intake is similar to "caretaker speech" or "motherese,"[13] a simplified language used by mothers and others to help young children understand, to get children to do as they are told. The most outstanding feature of caretaker speech, Krashen states, is that its purpose is not explicitly to teach language. Caretaker speech can be further defined as dealing mainly with the "here and now" and using short simple sentences which get longer and more complex as the child grows older. Caretakers frequently repeat themselves and slow down by inserting pauses to make sure comprehension is taking palce. They are more concerned with their ability to communicate with the listener than in correcting the child's language.

If caretaker speech is indeed helpful in L2 acquisition, Krashen speculates that intake, optimal input for L2 acquisition, may have the following characteristics:[14] "Intake is understood by the acquirer." Comprehension occurs when the utterance is related to a familiar context. Through the L2 performer's knowledge of the context being referred to, an utterance which is beyond his/her present competence may be understood. Intake, then, is "at or slightly in advance" of the acquirer's current grammatical competence.[15] Intake becomes progressively more complex, the acquirer apparently accommodating data in an optimal sequence. In addition, intake is always natural communication; acquisition seems to occur best when language users focus on the message and not on the form.

So far I have made no mention of oral practice in the acquisition process. Oral production may, however, contribute to acquisition indirectly. Oral responses may help elicit intake for the L2 acquirer, especially in conversations with native speakers of the TL.

Acquisition occurs when conditions for intake are met, when the acquirer comprehends a message, when the content of the message is considered meaningful and when the structure is at or slightly beyond the level of grammatical competence. As in child L1 and L2 acquisition, a period of time usually elapses between the point of comprehension and oral production, during which time data is processed into subconscious grammatical rules through the acquisition device. This may explain why delaying oral practice has achieved good results for several practitioners.

The preceeding discussion bears out that real language fluency occurs through acquisition, a process which requires exposure to understandable, meaningful utterances in the TL to be activated in the L2 performer. In other words, opportunities for listening comprehension are essential. This conclusion may have significant implications for the FL classroom.

If we accept the premise that learning to communicate is a desirable and realistic goal in the FL classroom situation, most classroom activities should be oriented toward acquisition. However, in most L2 instruction the emphasis is on learning, rather than on acquisition.

Terrell describes a formal learning situation devoted primarily to acquisition in an article entitled: "A Natural Approach to Second Language Acquisition and Learning."[16] He sets forth the following guidelines: (1) the goal of beginning language instruction is communicative competence (not grammatical perfection), (2) instead of building one rule at a time, instruction should modify and improve a student's grammar, (3) students should not be forced to learn but be allowed to acquire language, and (4) affective, not cognitive, factors are primary forces in language acquisition.[17]

To facilitate acquisition practically all classroom activities are devoted to communication, with focus on content, not form. Therefore, no speech errors are corrected and students are allowed to respond in L1, L2, or a combination of the two.[18] (The learning process is not neglected; formal grammar exercises are assigned as homework and carefully corrected by the instructor.)

While listening comprehension is an integral (and natural) aspect of instruction at all levels, it should dominate the classroom during the initial phases of instruction. Students must be taught that insecurity concerning the meaning of many TL utterances is a natural and necessary part of acquisition. The beginning L2 performer should learn to listen for lexical cues and after combining them with his/her knowledge of the real world, guess at the meaning. To facilitate effective guessing, the instructor should establish and work within a familiar contextual framework, avoiding frequent movement from one subject area to another whenever possible. Ideally, lessons are based on an ordered sequence of situational or semantic paradigms, rather than syntactic or structural paradigms.[19]

Rubin characterizes "the good language learner" by isolating strategies which such learners seem to have in common. On the top of her list is: "the good learner is a willing and good guesser."[20] The good learner, an acquirer, is "both comfortable with uncertainty (indeed he may enjoy it) and is willing to try out his guesses."[21] A good guesser develops a feel for grammaticality.

Terrell believes the learning of vocabulary to the "key to comprehension."[22] At first, students are taught a large number of common words, using cognates whenever possible, so that they will be able to understand the instructor. Lexical items are learned in semantic groups, often with the help of visual cues, to facilitate associative learning. Teaching a recognition vocabulary of 100-125 lexical items a week, as Terrell suggests,[23] serves as an inventory of cues to aid the student in the guessing process. Ultimately, however, guessing is not based exclusively on what the performer knows about the lexicon. "It is based on factual probability."[24] Guessing is based on what the L2 performer knows about the real world, which may include his social relationships, events which affect the performer, the setting of the speech act, and other speech participants.

For acquisition to occur the L2 performer should not only be able to comprehend the utterance, but the message must be meaningful as well. The content of the TL message should be the kind that would be interesting in the NL. The acquirer focuses on meaning; structure is subordinated to meaning. Consequently, the acquirer is also concerned with the context of the speech.

Listening comprehension may also be taught in the language laboratory. During the initial phases of instruction the Dept. of German at UC Irvine uses graded serialized episodes containing individual story lines, which become progressively more complex. In the second year, mysteries are presented in serial form. Segments from real conversations, radio plays, or news broadcasts, songs and interviews may also be used. By providing students with recorded material which is intrinsically interesting, language laboratory attendance increases radically. It is, of course, necessary to prepare students for listening comprehension exercises by introducing them to the context of the passage and by providing key phrases or lexical items so that they will be able to guess intelligently.

When should L2 oral production begin? Terrell suggests the answer must be: "whenever he [the learner] makes the decision to do so, i.e., whenever his self-image and ease in the classroom is such that a response in the second language will not produce anxiety."[25] In other words, as soon as acquisition has taken place.

In practice, a student is only required to respond to yes/no questions in the initial stages. Gradually, the L2 performer uses single lexical items and then, short phrases, wheich progressively become more involved. Students are allowed to mix L1 and L2.

In summary, I reiterate that providing intake for acquisition, the subconscious process by which the performer "picks up" the TL, should be the primary emphasis in FL instruction. As I have stated, this may be accomplished most effectively by providing the student with meaningful listening comprehension opportunities, using familiar contexts. Benson and Hjelt cite two areas of failure in the early stages of instruction:

> First, when beginners are asked to use words and structures too soon, they are forced to say what they do not know how to process in the target language because the target language vocabulary and structures are incomplete in their developing grammatical systems. Secondly, and perhaps this is the most critical factor, the context provided is often insufficient, and the beginning student cannot possibly successfully conceptualize the utterances of the new language.[26]

Oller makes "a plea for meaningfulness in language teaching from the beginning stages. This is an old cause dating at least to Otto Jesperson in 1904. Yet it has received little more than lip service from many theoreticians and practitioners in recent years."[27]

## Notes

[1]Valerian A. Postovsky, "Effects of Delay in Oral Practice at Beginning of Second Language Learning," Modern Language Journal, 58 (1974), 229-39.

[2]In particular, Asher, Winitz, and Reeds, cited in Postovsky, p. 230.

[3]Cited in: Pamela Cohelan Benson and Christine Hjelt, "Listening Competence: A Prerequisite to Communication," Modern Language Journal, 62 (1978), 86-87.

[4]Smith, Shipley, and Gleitman, 1966; Fraser, Bellugi, and Brown, 1965; Carrow, 1968; Bloom, 1970; Lee, 1970, cited in: Postovsky, p. 230.

[5]Cited in: Postovsky, p. 230.

[6]John W. Oller, Jr., "Expectancy for Successive Elements: Key Ingredient to Language Use," Foreign Language Annals, 7 (1974), 443-52.

[7]Gillian Brown, "Understanding Spoken Language," TESOL Quarterly, 12 (1978), 271.

[8]I am indebted to Brown, p. 276, for this example.

[9]Earl W. Stevick, Memory Meaning and Method (Rowley, Mass.: Newbury House Publishers, 1976), p. 33.

[10]Stephen D. Krashen, "The Monitor Model for Adult Second Language Performance," Viewpoints in English as a Second Language, ed. M. Burt and H. Dulay (New York: Regents, 1977), pp. 152-61.

[11]Stephen D. Krashen, "Adult Second Language Acquisition and Learning: A Review of Theory and Applications," MS. 1978, 20.

[12]Ibid., p. 23.

[13]Ibid., pp. 24-25.

[14]Ibid., pp. 26-27.

[15]Ibid., p. 26.

[16]Tracy D. Terrell, "A Natural Approach to Second Language Acquisition and Learning," Modern Language Journal, 61 (1977), 325-37.

[17]Ibid., p. 329.

[18]Ibid., p. 331.

[19]Oller, pp. 450-51.

[20]Joan Rubin, "What the 'Good Language Learner' Can Teach Us," TESOL Quarterly, 9 (1975), 45.

[21]Rubin, p. 45.

[22]Terrell, p. 333.

[23]Ibid.,

[24]Rubin, p. 45.

[25]Terrell, p. 333.

[26]Benson and Hjelt, p. 89.

[27]Oller, p. 450.

# THE STORY OF DE IN MANDARIN CHINESE: LINGUISTIC FUNCTIONS AND USAGE

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De, a neutral tone syllable consisting of a voiceless unaspirated dental stop [t] and a mid-central vowel [ə], in Mandarin Chinese is a multifunctional linguistic unit. The syllable has one or more roles to play in syntactic structures on all levels. It is a surface realization of several semantic aspects and a necessary element in the formation of various types of phrases. This element is generally introduced in early lessons in language textbooks.

Traditionally, de is classified under the general category called xu zi. Literally, xu means "empty," zi means "word," i.e. a written unit or character. Different subcategorizations have been developed in recent grammars and linguistic works. Scholars have also coined different terms to depict its functions.[1]

Since de has so many functions to perform in the language, it is hardly possible to give a full description of all of them in a paper of this size. I will be concerned only with its functions at an elementary level.

The functions of de in Mandarin Chinese are essentially of two types: (1) relating syntactic units to form phrases; (2) denoting a unit of meaning. In certain environments de may assume both functions simultaneously. The following pages will give examples of the various functions in detail.

The phrases haizimen de, lan de, ta de, shu gen fangzi de, qu de, women mai shu de, and hong de in examples (1) to (7) are recognized here as relater-axis phrase constructions. A relater-axis (RA) construction is a structured word group with two immediate constituents, a relater (R) and an axis governed by that relater. The axis may be a word or a word group. The function of the relater is to relate the axis to the grammatical structure of which it is a part (Cook, 1969:93). The axis in a RA phrase in Mandarin Chinese, as these examples illustrate, can be a noun or one of its substitutes, an adjective, a verb, an adverb, a phrase, or a clause. The syntactic order of the two components in such phrases is always axis-relater.

(1) haizimen de benzi
children de notebook
AXIS R
MODIFIER HEAD
"children's notebook(s)"

(2) lan de tian
blue de sky
"blue sky"

(3) ta de mao
he de cat
"his cat(s)"

(4) shu gen fangzi de zhongjian
tree and house de middle
"between the tree(s) and the house(s)"

(5) qu de ren
go de person
"the person(s) who go(es)"

(6) women mai shu de qian
we buy book de money
"money for us to buy books"

(7) Ta de shi hong de.
he de be red de
"His is/are the red one(s)."

One of the roles of the RA phrases in Mandarin Chinese is to fulfill the modifying function in modification phrases called head-modifier phrases. The head unit in a head-modifier phrase containing a RA modifier can be a noun (in examples (1)-(6)), an adjective, a verb, or a noun phrase (see examples (24), (26), and (23)). All of these examples show that the modifiers in such constructions always precede the head unit in Chinese.

The syntactic compatibility between a RA modifier and the head it modifies is governed by the fillers of the axis and the head units. As a noun modifier, the axis can be filled by a noun (phrase), or a pronoun, as examples (1), (4), and (3) show, or by an adjective (phrase), a verb (phrase), or a clause (see examples (2), (5), and (6)).

A unique characteristic, which the head-modifier noun phrases containing a RA unit in Chinese display is the optionality of the presence of the noun. Consequently, these RA phrases which are basically adjectival or possessive in nature, in addition to their noun modifying function, may also represent the noun phrases of which they are a part. They occur in clauses as subjects or other clause level functions where their noun phrases occur. This is shown in (7). The RA phrases ta de and lan de in this instance are often referred to as noun phrases or nouns.[2]

The occurrence of the relater de in noun phrases is sometimes optional if the axis function is filled by an adjective, a noun, or a pronoun. There are some semantic and syntactic restrictions, some of which are not well understood. In general, monosyllabic adjectives may directly modify a noun. The phrase in (2) for instance, may also be expressed in the form of lan benzi.

The situation with polysyllabic compounds is more complex. For example, the three adjective expressions piaoliang "pretty," meili "beautiful," and haokan "good-looking," all composed of the same number of morphemes and syllables, are used differently. To describe a dress a native speaker may use either piaoliang de, meili de, or haokan de to modify yishang "dress" or simply say piaoliang hishang but will not say meili yishang or haokan yishang. I have no logical explanation for this irregularity. I suspect certain features of the morphological components of these adjectives may have something to do with this discrepancy.

The occurrence or absence of de is sometimes semantically restricted. A pronoun can modify a noun without the relater when there is an intimate relationship between the modifier and the word modified. Kinship terms and nouns such as friend, relative, schoolmate, home, etc. may be modified by a pronoun with or without the relater de. Wo de fuqin, wo fuqin "my father," ni de pengyou, ni pengyou "your friend," tamen de jia, tamen jia "their home" are sets of free variations. In advancing this as a rule I would like to mention an irregular usage. The word "nation" in Chinese has two allolexemes, a simple word guo and a compound guojia. The relater de is always present if the head unit is the compound word. But is always absent if guo is used, e.g. wo de guojia but wo guo. Both phrases mean "my country."

In order for a noun to modify another noun without the relator de there must be a close physical or operational relationship between the two nouns. Thus, the presence of de is optional in (8), (9), and (10) but it is obligatory in phrases such as (1), where the two nouns in the phrase do not hold such a relationship. *Haizimen benzi has no meaning.

(8) tie (de) hezi
iron de box
"iron box"

(9) yizi (de) tui
chair de leg
"legs of a chair"

(10) che (de) haoshi
car de key
"car key"

Iron and box in (8), leg and chair in (9) both manifest a close physical relationship. Iron is the substance of the box. Legs are parts of a chair. The relationship between car and key in (10) is an operational one.

The activity of de is syntactically restricted if the head unit is a positional noun. The relater may either be present or absent if one of the localizers, tou or bian is present. Otherwise de may not occur. See examples (11) to (14). The insertion of de mades (15) and (16) ungrammatical. The positional noun zhongjian "middle" or "area in between" may be modified by a noun or pronoun with or without the presence of de (see examples (17) and (18)). The same principle also applies to those with a noun phrase as modifier, as (4) shows.

(11) zhuozi (de) shangtou
table de top/area above
"on/above the table"

(12) hezi (de) libian
box de inside
"inside the box"

(13) zhuozi shang

(14) hezi li
"inside the box"

(15) *zhuozi de shang

(16) *hezi de li

(17) hezi (de) zhongjian
box de middle
"in the middle of the box"

(18) women (de) zhongjian
we de area between
"the area between us"

Verbs and clauses cannot modify nouns directly. Neither can adjective phrases. (2a) *hen lan tian, (5a) *qu ren, and (6a) *women mai shu qian are all incorrect.

As noun modifiers, the coordinate noun phrases are also dependent on the relater de. Although (19) and (20) are both grammatically correct, (19), the sentence with de has two possible interpretations, because there are two possible RA constructions, che gen fangzi de and fangzi de. But che gen fangzi in (20), where de is absent, cannot become the modifier of yaoshi. Therefore (20) has only one possible interpretation.

(19) Che gen fangzi de yaoshi dou shi wo de.
car and house de key all be I de
"The car (key) and the house key are both mine."

(20) Che gen fangzi yaoshi dou shi wo de.
"The car and the house key are both mine."

There are some exceptional conditions which allow the absence of de from a noun modifying RA phrase, e.g., the de in (21). This is because zhongwen "Chinese" and shu "Book" are different types of nouns which do not logically appear in the same coordinate phrase in Chinese.

(21) zhongwen gen yingwen (de) shu
Chinese gen English de book
"Chinese books and English books"

A noun (phrase) in Chinese can be modified by a string of RA phrases. This is shown in example (22).

(22) Ta de zhuozi de shangtou de shu de litou de hong zhi shi ni de.
he de table de top de book de inside de red paper be you de
"The red paper in the book on his table is yours."

The de in an uninterrupted string of RA modifiers having a pronoun or a noun as axis is omittable with the following exceptions: (1) the last de preceeding the noun head, (2) the last de before the adjective. This is shown in example (23). The semantic requirements of de in these surroundings are inoperative. Ta zhuozi, shangtou shu, and zhuozi shangtou shu, which are capable of delivering the same message as if their relater de were present in this usage, are all ungrammatical used separately.

(23) ta zhuozi shangtou shu litou de (hong) zhi
he table top book inside de red paper
"The (red) paper in the book on his table"

De may occur with polymorphemic adverbs, such as feichang "Unusually," tebie "especially," etc., or with descriptive expressions to modify adjectives. The occurrence of de is optional in a head-modifier adjective phrase. This is exemplified in (24) and (25). Its inclusion allows the speaker to give emphasis to the phrase.

(24) Nei ben shu feichang (de) youyisi.
that book unusually de interesting
"That book is unusually interesting."

(25) Hu li de shui xiang bing yiyang (de) leng.
lake inside de water resemble ice same de cold
"The water in the lake is as cold as ice."

The axis may be a polymorphemic adjective (phrase) or verb(phrase), a reduplicated adjective compound, or manneristic or situational expressions (see examples (26) to (32)).

(26) (hen) gaoxing de kan
(very) delighted de read
"read with (much) delight"

(27) xing fen de changzhe
excited de singing
"singing excitedly"

(28) (Hen) zhuyi de ting
(very) pay attention de listen
"listen attentively"

(29) man-man (de) zou
slow-slow de walk
"walk slowly"

(30) man-man de fu-qiang le
slow-slow de rich-strong le
"slowly became rich and strong"

(31) yi zhang yi zhang de kan
one page one page de read
"read carefully page by page"

(32) yi zuo yi you de zouzhe
one left one right de walking
"walking side by side (one on the lift, one on the right)"

As example (29) shows, the occurrence of de is optional when the axis is a reduplicated adjective compound and the head unit is a verb. De is obligatory, as (30) shows, if the head is an adjective. Verbs in Chinese can never modify another verb without de because verbs as a rule can take other verbs as their object, (27) e.g. if spoken without de means "pay attention to listening." Adjectives when modifying a verb, as (26) shows, always require de. Incidentally, the ommision of de from (26) changes its meaning to "be delighted to read (it)" or "like to read (it)." This is because gaoxing is both an adjective and a verb in Chinese. With other adjectives, this omission is ungrammatical. The omission of de in (27) e.g., results in either a meaningless expression or one capable of being misunderstood as "Xingfen is/was singing." As (31) and (32) demonstrate de should be used when the adverbial RA contains a manneristic or situational expression.

Verbs and adjectives in Chinese, unlike nouns, may also take adverbial complements to form head-complement phrases. A complement (COMP) is an adverbial unit which enables the speaker to offer additional information postpositionally. Premodifying and post-complementing of verbs and adjectives are ways of providing variety in language usage and reducing ambiguity. While the two types of phrases are often used interchangeably, a complement phrase is always more emphatic.

A verb, in order to take an adverbial complement, generally requires the presence of de. An adjective must occur with de (example 33), except when the complement is the adverb jile "extremely," which precludes the occurrence of de, e.g., zao jile "extremely early." As (34) shows, most verb heads of a complement are RA phrases.

(33) hao de hen
good de very
AX R
H COMP

(34) Ta zou de zao (jile)
he leave de early extremely
AX R
H COMP

The adverb hen in (33) can also premodify adjectives directly e.g. hen hao "very good," with no stress on very. The meaning of hen in these two phrases is different. As a premodifier hen, unlike post complementing, merely denotes a subjective opinion of the speaker.

There are some other instances where the occurrence of de is optional. One of these is when the phrase is used imperatively. Example (35) illustrates this option. This option is clearly related to the imperative unit. The same expression used in a descriptive statement must always include de. We cannot say *ta lai zao yidian for "He comes a little early." Another instance where the omission of de occurs is where the complement is followed by the particle le,[3] as zou zao le in (36) demonstrates.

(35) Lai (de) zao yi dian.
come de early a little
"Come earlier."

(36) Ta zao zao le.
he leave early le
"He left too early."

We have seen that de as a relater is active in noun, verb, adjective, and RA phrases. As a component of a RA phrase it has the function to convert the unit into noun modifying adjectivals, or verb or adjective modifying adverbials. Based on its syntactic environment and functions in phrases, de has been recognized and referred to as (1) adjectival de (or marker), (2) adverbial de, (3) nominal de, in RA phrases functioning as noun phrases without the presence of a head noun, (4) possessive de, in recognition of the possessive nature of pronouns and personal nouns, and (5) complement de when it occurs in RA phrases followed by an adverbial complement.

On the word level de is a morpheme occurring regularly in potential-resultative compounds such as the de in (37). As an infix in such compounds it supplies the meaning "can" or "be able to," and is generally referred to as the potential de.

(37) ting-de-jian
listen can perceive
"be able to hear"

(38) xi de ganjing
wash can clean
"can wash (it) (and get it) clean"

De can also be inserted between a verb (denoting action or process) and an adjective (denoting state of an object as a result of the action or process), as (38) illustrates. The de in the compounds is recognized here as a bound morpheme because some compounds exist exclusively in potential form, e.g. lai-de-ji "can be in time (for...)" (Chao, 1968:457).

On the sentence level de is the realization of the complete aspect when time, location, or manner is the information concerned. This is shown in (39).

(39) Ta (shi) zuotian / zuo chuan / cong zhongguo lai de.
he be yesterday sit boat from China come de
TIME MANNER LOCATION
"He came from China / yesterday / by boat."

De is used for denoting emphasis and confirming the predicating statement when the primary concern of the expression is not with time, location, or manner. This is shown in (40).

(40) hua-bing (shi) hen youyisi de.
skate ice be very interesting de
"Skating on ice is really very interesting."

The story of de I have told so far, though incomplete, has embraced most of the basic points of usage of de in Mandarin Chinese. I hope I have been successful in conveying the thought that de is one element which warrants special attention in language teaching and learning.

## Notes

[1]Scholars' ideas of the status of de do not coincide. To mention a few, de is regarded as a suffix in Speak Chinese, but as a structural particle in Elementary Chinese. Wang Li calls it jihao "marker" (Chungkuo Hsientai Yüfa, Vol. I, p. 287). Lü Shu-hsiang terms it lianjie ci "connecter" but recognizes the de in ta de "his" and hong de "red ones" as a suffix (Yüfa Hsiütz'u Chiang-hua, pp. 14-15). And Y. R. Chao challs the de in ta de shu "his book" a suffix and a particle when the axis is a clause, as in ta kan de shu "the book he reads" (A Grammar of Spoken Chinese, p. 795).

[2]They are referred to as noun phrases when the author regards de as a particle, and as nouns if the author recognized de as a suffix.

[3]Le is a particle indicating various predicational aspects, e.g. a completed action or process, a changed status, etc.

# THE MAGIC SQUARE IN ALBRECHT DURER'S "MELENCOLIA I."--
# METAPHYSICAL SYMBOL OR MATHEMATICAL PASTIME?

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The obviously unhappy paralysis of the winged woman in "Melencolia I." is only a temporary melancholic state. In his essay, "Zur Interpretation von Dürers Melancholie,"[1] Heinrich Wölfflin distinguishes between such a merely temporary melancholic state and the melancholic temperament as such: the melancholic temperament of the woman is not at all the reason for her present posture. On the contrary, Renaissance astrology held that the melancholic temperament would have led the woman to ever higher thought and contemplation, since melancholic persons are contemplative by nature. However, at this point, too much mental activity has parched her blood and brain and the temporary melancholic state has ensued. Thus, the melancholic state is the ultimate consequence of an overly contemplative melancholic temperament. In the woman's present condition, black bile, which in its liquid form is propitious to intellectual endeavour, has become too dry and viscous. The reasoning powers are plugged up now and the brain is barren and cold.

Of the four Aristotelian temperaments, the sanguinic, the choleric, the phlegmatic, and the melancholic, the latter was associated with the planet Saturn. According to Erwin Panofsky, Saturn had a twofold influence upon his children:

> As the highest of the planets, as the oldest of the Olympians, and as the former ruler of the Golden Age, he could give power and riches. But as the dry and icy star, and as a cruel father-god dethroned, castrated and imprisoned in the bowels of the earth, he was associated with old age, disablement, sorrow, all kinds of misery and death. Even under favorable circumstances, those born under him could be wealthy and mighty only at the cost of generosity and goodness of heart, and wise only at the cost of happiness.[2]

Since the children of Saturn were thus hampered in their intellectual efforts, an antidote was needed. Such a means of combatting the evil influences of Saturn had been employed by the Florentine Neo-Platonist Ficino. Panofsky observes: "Ficino himself, whose horoscope showed 'Saturnum in Aquario ascendentum,' lived under a permanent cloud of anxiety. He tood, and advised his fellow-scholars to take, all possible precautions. He even used and recommended astrological talismans which might counteract the influence of Saturn by invoking the power of Jupiter, and this, by the way, explains the magic square in Dürer's Melencolia I."[3] The magic square affixed to the tower wall behind the winged woman is indeed the Sigillum Jovis, which Dürer, who was obviously familiar with the Renaissance tradition mentioned by Ficino, included in his engraving as the antidote to thwart the harmful influences of Saturn.

The exact origin of such magic squares is still unknown. But available evidence points toward oriental sources. Even today in the Orient, magic squares worn as good luck charms play an important part in the treatment of the sick. They usually contain one of Allah's names or quotes from the Koran, either of which have been transposed into numbers in a cabalistic fashion. The Cabala traditionally has assigned numbers to particular symbols of the Hebrew alphabet. Thus, a divine name or quote from scripture, after having been transposed into numbers, would then be entered into the magic square. The mathematical peculiarity of such a square consists in the fact that the sum of each horizontal and each vertical row of humbers and the sums of the two diagonal rows is always the same. In the case of Dürer's magic square the sum is always 34:

Figure 1:

| | | | | |
|---|---|---|---|---|
| 16 | 3 | 2 | 13 | =34 |
| 5 | 10 | 11 | 8 | =34 |
| 9 | 6 | 7 | 12 | =34 |
| 4 | 15 | 14 | 1 | =34 |
| =34 | =34 | =34 | =34 | |

Dürer may have known such Islamic or cabalistic traditions of numerical magic. Nevertheless, it has been suggested that the numbers had a more personal meaning for him, as evidenced by the otherwise untraditional arrangement of the numbers 15 and 14 in the bottom row, which correspond to the year in which the engraving was made. Such deliberations may have entered Dürer's mind. But the main purpose for including the square must have been its function as the antidote to melancholy.

The first mention of magic squares in Germany can be found in Heinrich Cornelius Agrippa von Nettesheim's De Occulta Philosophia.[4] Even though this work was published almost twenty years after Dürer's engraving of the "Melencolia," there was initially good reason to believe in a possible connection, since Agrippa (1486-1535) mentions in his preface that he had actually written the Books of Magic in his youth and had sent them for corrections to the abbot Johannes Trithemius, a man of great learning in the field of magic. Also included in the preface to his Books is the reply by the abbot, dated

April 8, 1510, in which Trithemius lauds Agrippa's style and knowledge and further advises him not to publish the work since it would be unsuitable for general reading. He should rather make his findings known to trusted friends only who were capable of understanding them.

If Agrippa indeed followed this exhortation to secrecy, that may partially account for the apparent lack of other German discussions of magic squares at the time. Because of such a lack, Karl Giehlow had proclaimed Agrippa as the most likely source for Dürer.[5] But a study by Josef Bielmann revealed that expecially in the section of interest here Agrippa's manuscript was much shorter than the later text: "A systematic continuation are the lengthy paragraphs lacking in the manuscript which deal with the correspondences between numbers, letters, and elements, as well as those about planets, their characters, and the ones about planetary tables, one of which has become famous thourgh Dürer's 'Melencolia'."[6]

Thus, even if Dürer had known Agrippa's manuscript, he could not have found the original pattern for his magic square in it. And sure enough, Agrippa's square in his later edition is constructed quite differently from that in Dürer's engraving.

If Agrippa is not Dürer's source, there are certainly other possibilities. Dürer had spent the years between 1505 and 1507 in Italy and spoke Italian with some fluency. It is therefore conceivable that the magic square was copied from the already mentioned Marsiglio Ficino, whose De Vita Triplici had appeared in Latin in 1489.

Another possible source is the so-called "Picatrix." A manuscript of this Arabic book of magic was most likely also Ficino's source. Aby Warburg explains: "In a manuscript in Rome which is augmented by other manuscripts in Vienna, Wolfenbüttel, and Cracow, and all of which go back to the Picatrix, we can find . . . just these numerical tables with exact directions as to their usage. . . . Ficino's pictorial magic and Agrippa's numerical squares therefore belong together as late descendants of age-old heathen practices, since both of them are rooted in the Hermetic healing magic transmitted by the Arabs."[7]

Since the Emperor Maximilian also possessed a copy of the "Picatrix" in his library, the scholar Karl Anton Novotny concluded that the "Picatrix" itself contained the origin of Dürer's magic square. Beyond the presence of such a manuscript in Maximilian's library there is, however, no evidence which suggests that Dürer knew or used it at all.

From this brief survey it is obvious that we cannot determine Dürer's actual source with any degree of accuracy. Let us therefore return to Agrippa's De Occulta Philosophia, since Agrippa at least professed to have written a summary of the wisdom of his age, which is, of course, the same wisdom upon which Dürer drew.

In Book II of De Occulta Philosophia, Agrippa describes the attributes of magic squares as follows: "They possess great heavenly powers since they represent those divine numerical proportions which the divine spirit, by means of the world soul, has implanted in heavenly objects. . . . If a man's strength of mind is great enough and if God renders him sufficient power he may exert influence upon matter properly prepared with magic art through the world soul and the position of the stars." Agripps then proceeds with his discussion of the individual tablets, their planetary designation and significance. Each of the seven planets has assigned to it a particular square. The further removed the planet is from earth, the smaller its square. The structure of all these magic tablets is governed by the previously mentioned rule: that the sums of all horizontal and vertical rows of numbers and the sums of the two diagonals are identical in each individual square.

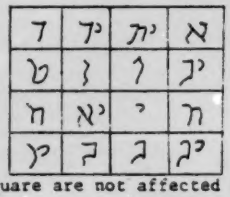
The square of principal interest here is of course the one belonging to Jupiter. About it Agrippa states:

> The second tablet is the one belonging to Jupiter. It results from the multiplication of four by itself and thus contains 16 numbers; each row, as well as the diagonals, consists of four numbers; the sum of each is 34. The total sum of all numbers is 136. The Jupiter tablet is again governed by divine names, as well as a benign intelligence and an evil demon. The character of Jupiter and his spirits can be gleaned from it. If this tablet is engraved on a silver plate while Jupiter is powerful and reigning, it is said to bestow material gain and riches, favor and love, peace and unity, honor and dignity. Furthermore, it is supposed to maintain good counsel if carved into corals.

A comparison of Agrippa's Jupiter-tablet with that of the "Melencolia" shows that some of the vertical and horizontal columns have been transposed in Dürer's engraving:

Figure 2:

| | | | |
|---|---|---|---|
| 4 | 14 | 15 | 1 |
| 9 | 7 | 6 | 12 |
| 5 | 11 | 10 | 8 |
| 16 | 2 | 3 | 13 |



However, the mathematical peculiarities of the magic square are not affected by this transposition.

According to Agrippa, the following numbers are of astrological significance to the Cabala: the amount of numbers contained in each row, the total amount of numbers contained in the square, the sum of the numbers in each row, and the sum of all numbers contained in the square. For the Jupiter tablet, they are 4, 16, 34, and 136.

For these particular numbers Agrippa then rendered the appropriate Hebraic words established by the Cabala. It should be noted that it was always the addition of the numerical values for each letter in the individual word which rendered one of these four essential numbers. Figure 3 lists the relevant magic number in the left column. Then follows the Hebrew word, its transliteration, and finally its translation. The numbers over the Hebrew letters indicate their individual numeric values.

Figure 3

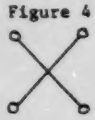
| Number | Hebrew Symbol | Transliteration | Translation |
|---|---|---|---|
| 4 | 1 2 1<br>א ב א | Abba | papa/father |
| 16 | 5 6 5<br>ה ו ה | (Hava?) | to fall/destruction |
| 16 | 10 5 1<br>י ה א | (Achi?) | ? |
| 34 | 2 1 30 1<br>ב א ל א | El Ab | God (is) the father |
| 136 | 30 1 10 80 5 10<br>ל א י פ ה י | Jopiel | (Intelligence) |
| 136 | 30 1 40 60 5<br>ל א מ ס ה | Hismael | (Demon) |

Agrippa's description of this tablet leaves no doubt about the fact that the square above the winged woman was ascribed to the planet Jupiter, even if some critics had suggested that the square underscored the influence of Saturn. It also seems significant that Agrippa considers a Saturn tablet helpful as well as harmful in very specific instances, while the Jupiter square apparently cannot harm, but rather renders assistance in the broadest and most sweeping way, affecting almost all aspects of life. The Jupiter seal could, therefore, very easily be a countermeasure to Saturn's detrimental forces.

Up to this point, I have discussed magic squares almost entirely as cabalistic symbols capable of rendering some metaphysical assistance if one was born under an unlucky star. That certainly was the view which Agrippa held concerning these squares; and it must have been at least part of Albrecht Dürer's reason for employing such a talisman.

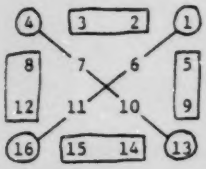
However, beginning with the Renaissance, there also arose an interest in the mathematical properties of such squares. Even Agrippa may have been dimly aware of the formation of the Jupiter square, since he included the so-called Saint Andrew's Cross in his explanations, which he mistakenly called the sign of Jupiter:

Figure 4



Karl Anton Novotny explains this sign as the device by means of which the Jupiter square is constructed. One starts with the following natural square:

Figure 5




The numbers 2, 3, 5, 8, 9, 12, 14, and 15 are now turned by 180°, while the rest stays in place. Novotny explains: "The magic square of the numeral 4, the table of Jupiter, is formed by leaving in position one half of the numbers of the natural square (as in the case of all even squares, the sequence is from right to left) and turning the other by 180°. . . . The seal of Jupiter joins together the

numerals left in position by means of a Saint Andrew,s cross with rings at the end, and the numerals turned around by means of a circle."[8]

It is perhaps worthwhile noting here that for the Jupiter square 880 variations exist, so that a different starting point for the square employed by Dürer is not at all inconceivable. Such a different starting point would, however, imply that Dürer knew about the manner in which the square was constructed and that he knew how to vary its pattern. It seems likely then, that at his time, a significant shift towards scientific thinking had already taken place, a shift which quickly diverted the interest from occult aspects of magic squares to their mathematical investigation and analysis. There were still very few magic feats based on arithmetic concepts in Agrippa's works, and he left his reader without any true explanation as to the mathematical formulae employed for the construction of the squares, while in the 17th century, for example, mathematical explanations were frequent and the magical aspect had virutally disappeared.

Agrippa himself thus became the victim of a curious coincidence. Robert Horst observes that Agrippa wrote his work on the eve of the Reformation when magic beliefs abounded. But he only published it in 1533 after "the Lutheran Reformation with its storm and stress had swept aside the neo-platonic and humanistic experiment. At that time, at the beginning of the 1950's, Agrippa was already considered a heretical magician, and hardly anybody understood his writings. The magic image of the cosmos which the Florentine philosopher Ficino propagated had been replaced by the mathematical and astronomical world view of Copernicus, and the myth had perished."[9]

The question is therefore valid whether Albrecht Dürer in 1514 was still caught up in occult symbolism when he included the magic square in his "Melencolia," whether he employed it to encode his name or other relevant information, as has been frequently suggested, or whether he considered it a mathematical diversion. His friendship with some of the leading humanists of the period (e.g. Willibald Pirckheimer) may suggest an acquaintance with Agrippa's works and other occult writings. Yet, his sojourn in Italy also makes his direct acquaintance with Ficino's books possible. Thus, he must have known that the "Sigillum Jovis" could countermand the saturnal state of melancholy. The only problem with this assumption is the fact that the tablet should then have taken visible effect upon the woman's disposition. Yet, she seems to be completely enveloped in despondency. Also, such magic squares were generally worn by the person desiring their aid and protection. But this square is affixed to the tower wall behind the winged woman. One seems to underrate Dürer's artistic talent if one argues that the square would have become indecipherable as a talisman. Dürer could have moved such an amulet far into the foreground or placed it into the woman's hand to make it readable for the viewer. Yet, the solution which he did choose contradicts all known tradition concerning these magic squares.

There are, of course, repeated suggestions that the square served the purpose of indicating the year of the engraving or even the date at which Dürer's mother died (May 16, 1514). The two center cells in the bottom row certainly could signify the year 1514, but the date of May 16th, supposedly indicated by the numbers 16 and 5, seems a bit far-fetched. In an even more unlikely interpretation, the reversal of the numbers 34 is advocated, because Dürer was 43 years old when he engraved the "Melencolia."

Somewhat more appealing at first glance is the suggestion by T. L. de Bruin that DÜrer encoded the date of the engraving as well as his name in the square.[10] De Bruin had noticed that on some of the preserved imprints Dürer's customary signature and the date were missing, while on others they appeared in the lower right-hand corner. Obviously, he was unaware that the imprints without signature are later copies which were not made from Dürer's plate at all. During the middle ages, de Bruin argues, isopsephy (the custom of replacing letters of the alphabet with numbers) was not only a Hebrew practice, but also a wide-spread pseudo-science in the West. De Bruin includes the best known isopsephic table of the Christian Cabala in which the Greek alphabet is rendered with Latin symbols:

| A | B | C | D | E | Dz | E | Th | I | K | L | M | N | Ks | O | P | E | S | T | U | Ph | X | Ps | OO |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 |

According to this table, the four corner cells of the Jupiter square, starting with the lowest number, spell ADNP, the abbreviation for: "Albertus Dürer Noricum Partus" or "Albrecht Dürer, born in Nuremburg."

Furthermore, if one inserts the appropriate letters into the bottom line, it renders the word "doksa," meaning "the magnificent splendor," or "glory of God's throne." Finally, de Bruin attached importance to the total sum of the "Mensula Jovis," namely 136. For this number the Christian Cabala had established the isepsephone "Doksa tou Theou," or the "Glory of God." Again, the same principle is involved as in Agrippa's description, even though the result differs.

With this interpretation, de Bruin asserted that the engraving had finally surrendered its 450 year old secret. But was it really Dürer's secret? For, what conceivable connection is there between God's glory and melancholy? De Bruin may have solved an astrological riddle, but he did not discover Dürer's reason for including the magic square in the "Melencolia." Beyond any doubt, Dürer knew the "Mensula Jovis" as an antidote to Saturn's melancholy. However, his acquaintance with planetary seals in general and this Jupiter seal in particular was probably still more rudimentary than has been assumed hitherto. Dürer even had considerably difficulty when he tried to insert all the digits correctly into the square. While the other numbers are clearly discernible, the 5 and the 9 in the first column seem to have undergone a change. The 5 appears as if it had been turned upside down, and the 9 resembles a question mark

rather than a number. A closer look reveals that the 5 has actually been changed from a 6. Probably not by coincidence, the 6 in the second column also seems to have undergone a change, even though this one is not as noticeable. Most likely it was the former 5. The number 9 which usually appears as a ♀, is reversed to ♀ on several of the signed imprints, which bear no other noticeable changes or corrections. From the available evidence it becomes clear that Dürer made two different attempts to effect all the corrections necessary. The exchange of the numbers 5 and 6 took place first, since all the available signed imprints show it; and only afterwards was the 9 redesigned, since some prints show one form and some the other. The number is reversed in the following copies: Berlin, Cambridge, London, Melbourne, Vienna, and Washington. At first glance this latter change could be considered merely a cosmetic operation, since apparently no numerical correction took place. But an interesting conjecture is possible. If one assumes that originally the numbers 5 and 6 were exchanged and thus the numbers contained in the first vertical row were 16, 6, 4, and the number in question in the third cell, then this latter number should have been 8 instead of the present 9 so that the row would add up to the astrologically interesting line-total of 34. And indeed, the ♀ seems to have the shape of a partially erased 8. Of course, under these circumstances the third horizontal line would add up to only 32 (8+5+7+12), the second vertical line to 33 (3+10+5+15), and the second horizontal line to 35 (6+10+11+8). No other row would be affected. But to us today at least, it seems much more probable that the artist checked the first vertical addition before all others in order to make sure that he constructed the square correctly, if he checked at all.

This conjecture would account for the otherwise extremely incomprehensible ♀, an obvious non-number in the midst of clearly discernible numbers. At least at some point during the fashioning of the engraving, Dürer must have become cognizant of the square's mathematical implications. But his original reason for its inclusion was a different one. To Dürer, the tablet was primarily an occult symbol, not a mathematical pasttime or a means of concealing his name. But he only vaguely comprehended it. This accounts for the fact that he attached the tablet to the tower wall, rather than let the woman wear it. Thereby he departed from the generally accepted tradition and provided evidence for his rather individualistic interpretation of this tablet.

## Notes

[1]Heinrich Wölfflin, "Zur Interpretation von Dürers Melancholie," Jahrbuch für Kunstwissenschaft, I (1923), 175.

[2]Erwin Panofsky, The Life and Art of Albrecht Dürer (Princeton: University Press, 1955), p. 166.

[3]Ibid., p. 167.

[4]Agrippa's De Occulta Philosophia (1533) appeared in German translation under the title Magische Werke (Berlin: Herman Barsdorf, 1916).

[5]Karl Giehlow, "Dürers Stich 'Melencolia' und der maximilianische Humanistenkreis," Mitteilungen der Gesellschaft für vervielfältigende Kunst, XXVI (1903), vol. 2, 29-41; XXVII (1904), vols. 1/2, 6-18; vol. 4, 57-78.

[6]Joseph Bielmann, "Zu einer Handschrift der Occulta Philosophia," Archiv für Kulturgeschichte, XXVII (1937), 323.

[7]Aby Warburg, Gesammelte Schriften (Leipzig, Berlin: B. G. Teubner, 1932), II, 528.

[8]Karl Anton Novotny, "The Construction of Certain Seals and Characters in the Work of Agrippa von Nettesheim," Journal of the Warburg and Courtauld Institutes, XII (1949), 46.

[9]Robert Horst, "Dürer's 'Melencolia'. Ein Beitrag zum Melancholeia--Problem," Wandlungen christlicher Kunst im Mittelalter (=Forschungen zur Kunstgeschichte und christlichen Archäologie) (Baden-Baden: Verlag für Kunst und Wissenschaft, 1953), 425.

[10]T. L. de Bruin, "Albertus Dürer's 'Melencolia' en Rembrants z.g. Faust--ets," De Kroniek van de Vriendendring van het Rembrandthuis, XVII (1963), vol. 3, 98-113 and XVIII (1964), vo. 6, 118-30.

# COMMUNICATION THROUGH VISUAL SYMBOLS

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Poets express themselves symbolically. The voyage symbolizing life, or the ocean suggesting eternity, are universally understood and appear in the literature of all the continents. Although he does not always do so, the poet can speak in language that is as meaningful to a reader in Japan as it is to one in Germany or Russia. It is this symbolic aspect of literature, touching levels of knowing not definable by words, which gives literature its universal significance and does not limit it in time or space.

Symbolic expression, however, is not confined to poetic language or to the literary imagination, nor to language itself. Daily life abounds with symbolism. A candle burning in a window implies warmth and a hearty welcome. A colored piece of cloth decorated with various designs attains great significance when it comes the ultimate symbol of an individual culture,[1] the flay of a country. No longer a mere piece of red or green cotton, it kindles a multitude of emotional responses ranging from love, loyalty, and respect to fear and hatred. A country's flag is a universally recognized visual symbol.

It is apparent, then, that man does not express himself and communicate through language alone. Objects impart information and, as anthropologist Edward T. Hall points out in The Silent Language, distinct messages are also transmitted through gestures and behavior patterns that vary from culture to culture. Whereas linguists have long agreed that "language is communication," Hall asserts that "culture is communication," and he examines, for instance, cultural differences in the use of time. A lack of understanding of the Latin attitude toward time can, according to Hall, lead to serious cross-cultural misunderstandings between North and Latin Americans. Time attains a symbolic meaning; a waiting period preceding an appointment in South America, which can extend to 45 minutes and is regarded as normal and acceptable by a Latin, is perceived as insulting by a North American.[2] The German is even a greater slave to time; he insists on punctuality and considers tardiness as offensive as too early an arrival. By the same token, ignorance of cultural differences in the meaning of gestures can lead to embarrassment. Lightly tapping one's temple with the index finger implies intellectual virtuosity in America, but the direct opposite in Germany. Clearly, being able to decipher the message that lies hidden behind words and actions plays an important role in improving cross-cultural communication.

As even a superficial survey of one's surroundings will reveal, a culture's distinctive mode of expression, which is not limited to words, gestures, and behavior patterns, is concretely demonstrated through cultural visual symbols. In his drive to understand and feel comfortable in his surroundings, man has created objects which communicate needs, beliefs, and attitudes and which uniquely represent and characterize his culture. He has further invested already existing phenomena with meaning they do not possess in other cultures, thus distinguishing his culture from others. In other words, he has created object or visual symbols which, like the chiffre, are meaningful only to its creator and which, unlike the flag or traditional literary symbols, are not universally recognized.

Cultural visual symbols range from general objects imbued with relatively neutral affective force--the inevitable Bierstein--to religious and ideological symbols capable of eliciting highly emotional responses--the Kaiser-Wilhelm-Gedächtniskirche and Brandenburger Tor. Cultural symbols have decorative, utilitarian, religious, or fetishistic functions intelligible only to members of a particular culture and not understood by individuals unfamiliar with the target culture. Thus a horseshoe connotes "good luck" to both Americans and Germans, while the famous Marzipanschweinchen biting a gold foil wrapped Pfennig only stimulates an American Marzipan lover's taste buds, while his German counterpart knows that it, like the horseshoe, will also bring good luck. The horseshoe as a good luck symbol was probably brought to America by the Pennsylvania "Dutch" and has become incorporated into American culture.

Because they reflect customs and traditions, cultural visual symbols are a part of daily activities. Although now archaic, the dunce cap is still remembered as a symbol of shame and disgrace in American schools. Crowned with the disreputable headgear, young offenders were condemned to stand or sit in corners of classrooms, doing penance for their misdeeds. In Germany, however, on a first grader's first day of school, the dishonorable dunce cap becomes a thing of joy. Turned upside down, which for German purposes is right side up, decorated with fairy tale characters and filled with sweets, it delights a first grader's eyes. Americans visiting Germany should know the symbolic meaning of the Zuchertüte, for otherwise they might conclude that Germans punish their students before they even get to school.

The quaint custom of offering flowers as a Gastgeschenk when invited to dinner in a German household is known to most who have spent some time in Germany and it therefore comes as no surprise that many a Hausfrau has received red roses from American visitors. Her reaction--to say nothing of her husband's reaction--is one of amazement; only much later does the red-faced giver discover that red roses are exchanged solely between lovers. Mistakes involving flowers are not confined to Germany. Chrysanthemums, associated by Americans with autumn and football games, are also a popular fall flower in Germany. But in France that lovely flower does not have such pleasant connotations, for it is "La fleur de mort," associated with the second of November, All Souls' Day. On a lighter, yet to the French, serious note, is the national preoccupation with the condition of the liver. It is expressed by the ever-present bottle of mineral water which represents more than just something to drink, and is, in fact, a symbol of

maintaining health and well-being, beginning at the physical center of the individual, and by extrapolation, extending to the totality of the French culture. An equal concern for health is evidenced by the famous featherbeds draped from German windows in the early morning hours. Even households where the featherbed is no longer in use "air" their Steppdecken and pillows, and a daily lüften of bedrooms is mandatory. A foreign visitor might be puzzled by the unlikely window decorations, until he realizes the importance fresh air plays in German life. After all, what other country has Luftkurorte? There is no doubt that the German considers fresh air, as long as it is not drafty, a major healing agent. The many avid hikers and customary Sunday afternoon walkers further demonstrate that fact.

Cultures create environments they find pleasing and satisfying. The Germans' and Austrians' love of nature finds expression in the profusion of flower boxes in windows and on balconies in many areas of the two countries, particularly in the Alps. The balconies themselves are more frequently found adorning apartment buildings in Germany than in other countries. Uniquely German are the Schrebergärten, small patches of land squeezed into any available space--even alongside roads and railroad tracks--and meticulously cultivated by their proud owners. They represent not only a need to own a piece of land, but also that certain German "industriousness" which, in other contexts, has not been without criticism.

The individual who has learned to read the landscape will gain greater benefit from a trip abroad and come away with fewer misperceptions and misunderstandings, than the one who has not learned to interpret what he sees. Thus, to the uninitiated, the Misthaufen near a farm house in the German countryside may communicate a deplorable lack of adequate sanitation regulations, when, in fact, it is meant to indicate prosperity. Likewise, the grills adorning Spanish windows in Andalucía have a deeper meaning. They are decorative, but they also have the definite function of keeping the sexes apart, a manifestation of the Spanish belief that men cannot control their passions in the presence of a woman, and that women are incapable of resisting men. No written or spoken words could more clearly delineate the Spanish attitude toward the male-female relationship than the iron grill. The German Fensterläden, on the other hand, have no such ulterior purpose; they are decorative window covers with the primary objective of protecting the house owner's privacy. A sharp contrast are the wide open American picture windows, particularly in suburbs, which demonstrate that privacy is not a major concern in a less crowded environment.

Not only do cultural visual symbols convey attitudes and beliefs, but they also identify and characterize a landscape: the soaring towers of Manhattan; the mansard roofs of Paris; the steep, red roofs of Germany. They have become familiar landmarks, giving the inhabitants of those areas a sense of home and security. According to Professor Hall, familiar landmarks are necessary so that we are "never at a total loss for orientation."[3] James Wise of the University of Washington seems to agree with Hall's view. In an article entitled "The Needle--'Comforting Sight As It is'," he discusses the detrimental effects a proposed alteration to the Space Needle would have on the population. Wise argues that the Space Needle has long been a familiar landmark and cultural symbol with which Seattleites identify, and he suggests that the addition of an elevated restaurant, which would significantly change the silhouette of the Needle, could result in disorientation among the populace.[4] Wise's claim appears to be supported by fact, for experience shows that the inhabitants of an area do indeed closely identify with its landmarks. To mind comes the ruin of the Kaiser-Wilhelm-Gedächtniskirche, which Berliners insisted remain in place in spite of the immediately adjacent postwar construction of a modern church designed by Professor Eiermann. The ruined tower of the Kaiser-Wilhelm-Gedächtniskirche is a war memorial, and as such it has powerful ideological significance, but could its survival also reflect a reluctance on the part of Berliners to part with a dear and familiar landmark and symbol? Landmarks also give a sense of security to travelers. To tourists, the Kaiser-Wilhelm-Gedächtniskirche signals Berlin, the Eiffel tower means Paris, the Coliseum communicates Rome. They are among the world's most famous cultural symbols, and they have become familiar to all. Perhaps the traveler's characteristic haste, immediately upon arrival, to inspect a "familiar" landmark, is partially motivated by his need to orient himself as quickly as possible in a new environment.

Cultural visual symbols have found their way into literature. As can be expected, trivial literature is replete with symbolism calculated to make the reader feel comfortable. Thus, the settings for many of the Heimatromane are small, formerly German villages outside the present border where ancient Germanic names, customs, and traditions are said to prevail, as in Eberhart Kulbe's short story, "Sait bouken, guater hear." Kulbe describes a small, blond portion of the population of Gietzen in the Italian Tyrol, which has preserved an archaic form of German (presumably Gothic), and speaks of Dietrich von Bern.[5] Historically inaccurate, the symbolism of the Heimatroman is obvious to a reader familiar with the culture, but it is regionally limited and has no universal significance. At the opposite end of the culturally oriented and patent symbolism found in popular literature are the inscrutable chiffres of modern poetry. Thus the meaning of Blutnebel in Trakl's "Menschheit," and the rote Hunde in Georg Heym's "Der Krieg" are not clear. Chiffres are neither cultural symbols nor universally meaningful "signs" utilized in classical literature, but rather they express the poet's personal vision of a tortuous and complex reality. Chiffres are as personal to the poet as cultural visual or object symbols are to an individual culture.

A limited use of cultural visual symbols can be found in classical literature. In Romeo und Julia auf dem Dorfe, Gottfried Keller effectively uses a Lebkuchenhaus as an important Dingsymbol. Lebkuchen is characteristically German; no German Christmas would be complete without it. The word "Leb" is a form of "Laib," meaning "loaf." Lebkuchen means "in Pfannen gebackenes Brot," and bread is, of course, a

necessary ingredient for daily survival. Lebkuchen, then, is as respectable and common as a loaf of bread. It is such a Lebkuchenhaus, "ein grosses Haus von Lebkuchen, dass mit Zuckerguss freundlich geweisst war,"[6] which Sali buys for Vrenchen during their attendance of a Kirchweih on the fatal evening of their suicide. The Lebkuchenhaus symbolizes for Vrenchen and Sali the middle class solidity and respectability they will never experience; it is mere Schein, an illusion of the real house they will never own and live in, for they act contrary to society and its rules. It is interesting to speculate what kind of an object a Spaniard or Frenchman would have bought his sweetheart on their last night together; a fan, perhaps, or a music box? But for Sali and Vrenchen, in a small village, in a 19th century, bourgeois society, it is a house made of dependable, durable, familiar Lebkuchen, symbolizing the "solid" happiness that eludes them. Unlike Keller, Nietzche would not have pitied them for not being able to live in their Lebkuchenhaus and partake of what he called "das stumpfe, deutsche Stubenglück."

Adalbert Stifter also uses a cultural visual symbol in his short story "Bergkristall." Early in the narrative, Stifter introduces the Unglückssäule, a tall, red column situated on a mountain pass approximately half-way between the villages of Gschaid and Gstad. The column had been erected at the site where a villager was accidentally killed and marks the path between the villages. Topped with a black cross a decorated with the victim's picture and a request for a prayer, it is not only a highly visible memorail, sign post, and landmark, but it also functions as a roadside shrine. The Unglückssäule is used to communicate that something unusual is about to occur. On Christmas Eve the children discover that the landmark has fallen, a fact that alerts the reader to possible danger, but is not perceived by the children in their innocence, as unusual. Instead, it pleases them to be able to read the inscription, "aber da sie einmal lag, so machte es ihnen Freude, dass sie das Bild und die Schrift so nahe betrachten konnten, wie es sonst nie der Fall gewesen war."[7] Together with the falling snow, the loss of the landmark and sign post is responsible for the children's inability to find their way home. The Unglückssäule in Stiftner's short story is a cultural visual symbol that has not only a utilitarian function, that of a sign post, but it also represents the villagers' deep awe of their beloved and mysterious mountains and their simple faith in God. As such it becomes a religious symbol, and the fact that it has fallen has meatphysical implications. It resembles the many roadside shrines which, respected by the devout, admired by tourists, decorated with flowers by women and children, and used as guide posts by hikers and wanderers, grace the Bavarian and Austrian countryside, a reminder of a once strong, and still surviving, Catholic faith.

It cannot be denied that the meaning of the two symbols chosen by Keller and Stifter is made sufficiently clear to the reader. While the gingerbread house and the roadside shrine are not universal literary symbols, their symbolic function is recognized because they are invested with meaning which becomes apparent through the authors' handling of the material; nevertheless, understanding the significance of the Lebkuchenhaus and Unglückssäule within their cultural context intensifies their importance and effectiveness as symbols. Similarly, an awareness and comprehension of the existence and meaning of cultural visual symbols within the actual environment increases a student's appreciation of the new and foreign culture he is seeking to know.[8]

## Notes

[1]The term "culture" in this paper is used in the anthropological sense, referring to a community or group of people who share common behavior patterns, beliefs, institutions, and other products of human work and thought.

[2]Edward T. Hall, The Silent Language (Garden City: Doubleday, 1973), p. 4.

[3]Hall, p. 36.

[4]James A. Wise, "The Needle--'Comforting Sight As It Is,'" Seattle Post-Intelligencer, September 21, 1978, p. A-3.

[5]Eberhart Kulbe, "Said bouken, guater hear," short story about the "Kimbern" in the South Tyrol, magazine of the DWZ, January 12, 1973, p. 12.

[6]Gottfried Keller, Romeo und Julia auf dem Dorfe (Stuttgart: Philipp Reclam, 1968), p. 71.

[7]Adalbert Stifter, "Bergkristall," Bunte Steine, Vol. 7547 (München: Goldmann Verlag), p. 155.

[8]The topic of cultural visual symbols was discussed by Dr. Genelle Morain during a workshop held at Western Washington State University, Bellingham, Washington, July-August, 1976.

# THE ZARZUELA: ROMANTIC AND COLORFUL AND INESCAPABLY SPAIN

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In his introduction to Iberia, James Michener shares with the reader his passion for Spain and its people and divulges two of his cherished first attractions: oranges and zarzuelas.[1] Michener aptly conveys the essence of Spain as he describes to us the people, the customs and attitudes, the places which he encounters. If his book Iberia is one way to gain insight into what makes up Spain, so is the genre of entertainment that captivated the author on his first night in Castellón, the zarzuela--the zarzuela with its people, its costumbrismo, its settings, and its music; the zarzuela, Spain's indigenous musical theater. The characters and the themes of the zarzuela come from daily life, especially from the streets of Madrid. They deal with human emotions and ideas, with typically Spanish attitudes, and most often with the entaglements of romantic love. Spanish flavor permeates these themes. The settings offer colorful scenes of Madrid and of the distinct provincial regions. But in large part, the spirit of the zarzuela comes from the traditional rhythms of the popular and folk music which are woven into the works. An acquaintance with the zarzuela is an exciting and profitable discovery of a number of threads which weave the "culture" of Spain, in particular of the late nineteenth and early twentieth centuries. The following are some of the cultural threads found in the characters, their antics and attitudes, in the settings and in the music of the Spanish zarzuela.

We meet the Spanish in a wild variety of personalities, types--many of whom Goya pictures years before--and roles written by that society. The characters include stereotypes of everyone from the duchess to the rogue. Some, who are categoriezed by jobs, tell us a great deal about the social and economic aspects of the culture of the day. Let us look at examples, both of the types which paint the culture and of those who portray the real people among the Spanish. In keeping with the group we are considering, we shall look at the women first.

André Maurois calls the Spanish woman "la obra maestra de este país."[2] One example of this dark-haired, intelligent Spanish beauty is Mari-Pepa, the winsome, witty, lively, and lovely heroine who is "La Revoltosa." She is the flirt, the tease, "la mujer que por la complacencia de sentirse admirada y deseada, juega con el placer de hacer sufrir al que la quiere de veras, al menestral serio que siente indignación por la ligereza de una mujer que hace cara al primero que la dice, /¡Por ahí te pudras!'"[3] Some of those victims of her charms are the old married men of her tenement house. These latter offer us a look at don juanismo and give several examples of the viejo verde, a frequent personage of the zarzuela. Another view of the lovely Spanish morena is the beloved Raquel, sought by a young painter as the model for his Virgin in the zarzuela, "El huesped del Seveillano." He sings of her in the romanza:

Mujer de los ojos negros
la de la trenza morena
mujer de los labios rojos
como la flor del amor.
Mujer de perfil gitano
que tiene sangre agarena
mujer de cuerpo pagano
eres llama, verso y flor.[4]

Naturally the counterpart of the perfect Spanish lady is the handsome conquistador, who nearly always views love as a conquest. From this same zarzuela, don Diego the count, actually kidnaps Raquel, later to lose her to the sincere painter, Juan Luis, who saves and wins her with the aid of the clever servants disguised in monk's robes. Two others who fight but lose the conquest are Vidal, who sings of "la lucha por el amor de una mujer" in the zarzuela that carries the lovely one's name, "Luisa Fernanda," and Mario, who is willing to die for love of the gypsy Amapola in "La leyenda del beso." Ironically he falls victim to that legend: "¡Morirá él que besare a esta hermosa mujer!" The chulapas, in Michener's word "not numbers of flashy dames," show up in a number of zarzuelas. Susana and Casta in "La verbena de la Paloma" exploit the weakness of old don Hilarión, the rich pharmacist, with their charm and with. Other female types found in this work are tía Antonia, the raspy-voiced celestina: Rita, the tender, protective godmother of lovestruck Julián. In "Agua, azucarillos, y aguardiente," we meet two spicy chulas, the water-sellers who delight us with their wit and sarcastic comedy as they battle over their business. This same work presents some charming stereotypes: children and their nursemaids in the park, the barquilleros who tempt these children with their sugar cones of lemon and cinnamon flavors.

The kitchen maid in "El huesped del Sevillano" is part of an intricate story, which offers her as the inspiration for Cervantes' La ilustre fregona. The character of Cervantes through a dramatic soliloquy just before the final curtain falls on this story of kidnap, jealousy, love, and adventure, offers his intentions, "Oh Toledo, si yo puedo para tu honor y mi gloria he de escribir una historia en un mesón de Toledo."[5]

Among the male characters are the previously mentioned lovers, the boticario don Hilarión, clever servants, and the dirty old men. The heroes of "La verbena" and "La Revoltosa" are the dashing chulos Julián and Felipe. Soldiers appear often, perhaps as Javier, el caballero del alto plumero, or in "Luisa

Fernanda," or as the patriotic but downhearted men returning to their homeland after defeat in the New World in "Gigantes y cabezudos." We meet politicians, rogues, and villains, buffoons and comics, a toreador of the summer months, bunglers and revelers, a landlord always after the rent, a sereno, and the ever-present guards of law and order. The character of the zarzuela is the Spaniard. This is one reason for the popular appeal of the zarzuela.

> Y es que la zarzuela nos recuerda lo que somos; nos reconocemos en ella; es un espejo que refleja nuestra fisonomía, donde nos vemos tal cual hemos sido y seremos siempre quiza, ligeros, versatiles, apasionados, hidalgos orgullosos y pobres, galanteadores por naturaleza, dadivosos por condición, con reminiscencias de devoto y trasuntos de guerrillero, Tenorios en aparencia, Quijotes en la realidad.[6]

The zarzuela provides an opportunity to see typical customs, patterns, habits like the popularity of tute in the tavern scenes, or the treats of azucarillos, barquillos, buñuelos, churros, aguardiente, and tintas, the securing and enjoying of which create wonderful gathering palces for gossip, laughter, and action. Reference to the mantón worn by the ladies for special occasions is frequent; perhaps it is most memorable in the lines: "por ser la Virgen de la Paloma, un mantón de la China te voy a regalar," and also "¿Dónde vas con mantón de Manila? ¿Dónde vas con vestido Chiné? --A lucirme y a ver la verbena, y a meterme en la cama despues."[7] The melody of the latter would awaken a response from nearly any Spaniard. One can see the traditional fiestas, like the verbenas of the Paloma, or San Juan or San Lorenzo. Lorenzo in "Agua..." speaks of the víspera de mi santo as he schemes for the verbena and contemplates his name day. They arrive at the party in berlinas, or carriages also called derogatorily manuelas. That we discover when Pepa hurls an insult at her competition in the water selling business, whose name is Manuela.

Even deeper than customs, language and habits are the attitudes which reflect a culture. One strong Spanish attitude is apparent throughout the zarzuelas, that of romanticism. Here is a lover's request from "El guitarrico":

> . . . dila que estoy medio loco,
> dila que loco perdido.
> Dila que la Inquisición,
> dila que fue un gran tormento,
> pero que aquello no es mada,
> para lo que estoy sufriendo.[8]

This is typical of the idealized romantic love nearly always portrayed in the zarzuela. Another, from "Molinos de viento" speaks of the joy, tenderness, wisdom, hopes, dreams, all found in the "mirada de la niña de los ojos bellos."[9]

A strong sense of pride, casticismo, runs high in the Spaniard regardless of social or economic class. Concha of "El niño judío" expresses this pride clearly as she sings:

> ¡De España vengo! ¡soy española!
> En mis ojos me traigo luz de su cielo
> y en mi cuerpo la gracia de la manola.
> De España vengo--de España soy...
> A mi lo madrileño me vuelve loca;
> y cuando yo me arranco con una copla,
> al acento gitano de mi canción
> toman vida las flores de mi mantón.[10]

It is the very fact that the zarzuela conveys so well the Spanish consciousness, the collective sentiments of one particular people, that it is little known outside Spanish circules. Parallels of this inwardness are seen in Spanish art, literature, music, and all provide insight into the essence of the español.

These people and their festivities, these romantic conquests complete with jealousies are portrayed in the corners of Madrid and in the corners of Spain. The streets and neighborhoods of Madrid, the regions of Spain are mirrored in the zarzuela. The bits of life are set in the particular environments that make up the richness and diversity of Spain. The scenes of Madrid include the beautiful and the mundane, even ugly, but always the charming, lively city. The barrios bajos with their verbenas, taverns, churrerías, and buñolerías provide the setting for the colorful activity of the manolos and chulapas. These earthly districts set the stage for some of the best loved works. The pulse here is the very heart of Madrid. Some of the streets and plazas, dear to the natives, can be known by the stranger in these theatrical sets. It is often the seamy side of the barrio bajo, the activities of scoundrels, tricksters, and drunkards which provide the entertainment of the zarzuela. In "Agua..." the calle de Sevilla is frequented by Lorenzo, the summertime picador, because "en sus aceras y cafés fueron paradero y metidero de cómicos, toreros, y cesantes."[11] The barquilleros peddle their sweets in a number of places:

> Vivimos in la Ronda de Embajadores al "lao" de la Ribera de Curtidores. Pasamos nuestra vida con los chiquillos que son los que consumen nuestros barquillos. Cruzamos el Prao, la plaza Colón, voceando: ¿quién los quiere tiernecitos, tostaditos de canela y de limón? . . . --Yo me voy a las Vistillas . . . Yo a la Puerta de Alcalá . . . Yo me quedo en Recoletos . . . Yo a la plaza "la Ceba" . . .[12]

Plaza de la Cebada was the site in old Madrid where the peasants from surrounding fields brought their grains to market. The plaza is located between the streets of Toledo and Humilladero which back the scenes in the "Verbena..." Don Hilarión's pharmacy is located on Humilladero and the numerous taverns along Toledo celebrate the festivities of the verbena on August 15. Nearby Paloma street claims the origin of the popular devotion to the Virgin of the Dove. The casticismo of the madrileños, especially the folk of the barrios bajos, comes through many zarzuelas and is even sum by some outsiders, like these lines of Habacuc and Nepomuc the comic Prussian sailor twins of "La Diva." In praise: "--Todo Madrid he visitado. --Toda la corte recorrí. --Puerta del Sol, Retiro, y Prado. --La Castellana y Chamberí. . . . --Todo, todo, todo muy bonito, muy arregladito, muy apañadito. --cosa que hace honòr al alcalde y al señor gobernador."[13] Other corners of Madrid form the setting for the first two acts of "Luisa Fernanda" before the love story is removed to Extremadura. We see the elegant elevated gardens near the plazuela of San Javier where the duchess Caroline and the caballero Javier sing the mazurka of the parasols. The nearby street of Conde houses an old, pleasurable bodega which is a part of the set. The Paseo de la Florida offers the gaiety of the artisans of Madrid and the "camino de los populares merenderos de la Bombilla."[14]

The zarzuela goes beyond this cross-section of Madrid however, into the quaint corners of the provinces. A few examples: "La Alegría de la Huerta" set in the south, Murcia, with peasants, villagers, irrigation-ditch launderesses, and gypsy jargon; "La Bruja" portraying the ambiente of Navarra, Pamplona, and Valley of Roncal: "La leyenda del beso" with the strong flavor of the gypsy camp--its crude tents, campfire, forge, music and dance; the two that offer a view of Aragón and its proud and fiery inhabitants, "Los de Aragón" and "Gigantes y cabezudos." "Gigantes" pictures familiar sites of Zaragoza, its river Ebro, its church Pilar, its plaza del Mercado, its traditional festival with parades of giants and bigheads, and the sadness of the soldiers of Aragón upon returning from defeat in the New World in 1898. Their patriotism stirred the hearts of the audiences that year in Madrid.

In addition to the settings, themes, and stories which develop from the action and the dialog of its characters, the zarzuela is music and dance. The spirit of the form is carried by the traditional rhythms from the jota to the seguidilla to the soleá--the lively to the profoundly sad--a broad variety familiar to the people. Speaking of Spanish music in El Alma de España, Gerardo Diego says:

> [they can] sentir la más profunda emoción ante el contacto físico, acústico de una música española cualquiera, aúnque sea la de un modesto pasodoble torero o de una canción de zarzuela. . . . se comprueba el especialísimo, el agudísimo poder de evocación, de plasticidad, de contagio apasionado de los acentos raciales de nuestra música por el hecho de que a la emoción de los españoles acompaña invariablemente completándola desde el otro lado, porque lo que en nosotros, españoles, es nostalgia, "saudade," "regret," en ellos, los no españoles es ilusión, imán, llamamiento irresistible.[15]

Examples of the rich tradition of folk music abound in the zarzuela, and at times the solos and duets reach the dimension and quality of opera. The wealth of Spain is reflected in her music and the wealth of Spanish music can be found in the zarzuela.

> La riqueza de nuestros cantos populares encierra en la zarzuela a toda la nación. La soleá y el polo, las seguidillas, el bolero, la jota subrayan en ella los componentes de nuestro carácter; la indolencia africana, la gracia andaluza, el descaro del chulo, el garbo de la manola, la fiereza del aragonés.
>
> . . . representa en música, nuestra fe de vida, lo que podemos ostentar como patrimonio exclusivo nuestro, es lo que interesa, entretiene, deleita y entusiasma, jugo musical a toda la nación.
>
> . . . ha vivido y vive exclusivamente del favor de público y a su sombra crecen y se desarrollan fuerzas considerable del país, que de otra suerte morirán en la inercia.[16]

In the zarzuela the music says it all and reflects along with the other elements of this theatrical form, a national tradition, a spirit of the people, and the collective emotions of Spain of sixty years ago. Although some particulars may be outmoded, its age enhances rather than erases the charm of this lyrical form which truly reflects Spanish life.

## Notes

[1]James Michener, Iberia: Spanish Travels and Reflections (Greenwich, Connecticut: Fawcett, 1969), pp. 11-37.

[2]El Alma de España, obra colectiva de Dr. Gregorio Maranón (Madrid: Herederos de Manuel Herrera Oria, n.d.), p. 226.

[3]From the record jacket of "La Revoltosa," letra--López Silva y Carlos F. Shaw, música--Chapí (Alhambra).

[4]From the cassette tape of "Romanzas de Zarzuelas," Luis Sagi-Vela and Alfredo Kraus (Madrid: Octavio, Felez y Cía. S.A.).

[5]From the recording of "El Huesped del Sevillano," letra--Luca de Tena, música--Guerrero (Alhambra).

[6]Antonio Peña y Goñi, España desde la ópera a la zarzuela (Madrid: Alianza Editorial, 1967), p. 247.

[7]Ricardo de la Vega, "La verbena de la Paloma," música Thomas Bretón (Madrid: Unión Musical Española, 1962).

[8]"Romanzas de Zarzuelas."

[9]Ibid.

[10]Pablo Luna, "El Niño Judío."

[11]"Agua, azucarillos y aguardiente."

[12]Ibid.,

[13]José Deleito y Piñuela, Origen y apogeo del "Género Chico" (Madrid: Revista del Occidente, 1949), p. 479.

[14]Juan Antonio Cabezas, Diccionario de Madrid (Madrid: Compañía Bibliografica Española, S.A., 1968).

[15]El Alma de España, p. 61.

[16]Peña y Coñi, España desde la ópera a la zarzuela, p. 247.

# CONCORDANCIAS ARTISTICO-LITERARIAS EN LA CULTURA HISPANICA

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Cada día va tomando más cuerpo el propósito de informar a nuestros educandos en todo lo que concierne a las formas de vida, instituciones, desenvolvimiento económico y actividades artísticas de los países cuya lengua tratamos de enseñar. Hace ya años, al llegar a este país como profesor visitante, dejé ver mi extrañeza al echar de menos en los programas de humanidades, planes y cursos sobre civilización y cultura. Algunos colegas sienten todavía como independientes y distintos los estudios de lengua y literatura, haciendo caso omiso de temas que son esencialmente inherentes a ellos. Yo, por el contrario, siempre he sostenido que la literatura sólo se entiende en función del lenguaje y una y otro no son sino parcelas de un todo más amplio que definimos en castellano por cultura o civilización y que, en síntesis, no es más que el exponente del grado de desarrollo intelectual, material y moral de un grupo étnico, pueblo o nación.

Como aclaración previa a la tesis que voy a exponer, es procedente indicar que por artístico entiendo aquí el concepto restringido de "artes plásticas," en contraste con lo literario como forma de expresión estética por medio de la palabra, o con lo musical por medio del sonido. Ello no implica oposición o distanciamiento, sino complemento y medio diferente de comunicación de que dispone el ser humano para transmitir un mensaje artístico a sus semejantes y hacerles copartícipes de sus emociones, ideas y sentimientos.

En el caso de nuestra cultura hispánica las concordancias entre las manifestaciones artísticas y los monumentos literarios son de una evidencia incuestionable. Lo mismo si se trata de nuestro decantado realismo como si adoptamos el papel de símbolo o alegoría, los brotes literarios corren en paralelo con las formas de las artes plásticas mayores y menores.

Desde los albores del romance castellano ya hay indicios de este paralelismo. Cuando esta lengua alcanza plena autonomía de su madre nutricia latina, los juglares encuentran ya un instrumento lingüístico bastante completo para entretener al pueblo con el relato de las hazañas de sus héroes. Pero estas proezas de los hombres admirados por las tempranas multitudes medievales se imponen por sí mismas como tema favorito dado el ambiente mítico y heroico de la Reconquista. Y es curioso observar que mientras la cuña guerrera se va abriendo paso y ensanchando hacia el sur, la cuña lingüística castellana sigue paralelamente su impulso hacia el mediodía de la península y, en su dilatación, va absorbiendo los dialectos romances a derecha e izquierda de sus fronteras. Castilla se va imponiendo por su épica y su política hasta alcanzar en ambas su hegemonía.

Es significativo también que las lenguas románicas cobran personalidad propia cuando aparece el arte románico hacia finales del siglo IX. Y cuando el rito mozárabe es reemplazado en sus funciones por el romano que traen los monjes de Cluny, muere tambien el mozarabismo peninsular en lengua y literatura. Los beatos ilustrados con miniaturas de sabor arabizante dejan de escribirse justamente cuando se impone el arte románico plenamente occidental.

La sociedad de la Alta Edad Media se mueve en torno al castillo y al monasterio. Y a esta estructura de incipiente feudalismo corresponde una literatura de doble signo, épica y religiosa: los cantares de gesta por un lado y las glosas y alejandrinos de Berceo por otro. Estos últimos se deben a la péñola de un clérigo que vive en uno de tantos monasterios escalonados a lo largo de la ruta de Compostela, donde se alzan los monumentos más significativos del arte románico, Jaca, Sangüesa, Frómista, San Isidoro de León y la basílica compostelana. Ya hace años, A. K. Porter destacó la estrecha dependencia entre la ruta jacobea y el arte cluniancense en The Romanesque Art of the Pilgrimage Roads (Boston, 1923). Aún cabe añadir que una modalidad del románico, el románico-bizantino, patente en las catedrales de Zamora y Vieja de Salamanca, tiene su paralelo en el bizantinismo literario del Libro de Apolonio del mester de clerecía.

Lo mismo se podría decir de la última etapa de apogeo de la épica. Los cantares de gesta, escritos después que han desaparecido sus héroes, coinciden en el tiempo con el apogeo de la construcción de castillos. El castillo español es una construcción sobria, producto de una mentalidad guerrera, cuando reyes como Alfonso VI fortifican la línea avanzada del Duero al Tajo, poblando de murallas y castillos las tierras de Valladolid, Avila y Segovia, que constituyen geográficamente la zona más abundante en castillos.

Pero al alborear el siglo XIII cambia todo: las estructuras sociales, los conceptos políticos, la enseñanza, la filosofía, las tendencias literarias, la misión de las órdenes religiosas, la sensibilidad artística y hasta la indumentaria militar y social que llega del centro de Europa. La vida en torno al castillo se traslada, con la naciente burguesía gremial, a los centros urbanos, a los burgos; el romanismo universalista se impone al concepto patrimonial de la monarquía. Nacen--o se consolidan--las universidades de Oxford, la Sorbona, Bolonia, Colonia y Salamanca, sustituyendo a las escuelas catedralicias. La Escolástica, con Santo Tomás, suplanta a la Patrística. La lírica y la prosa científica y ficcional se imponen a la épica. Aparecen las órdenes mendicantes de dominicos y franciscanos al lado de las de Cluny y el Císter. Y el artista, con la misma sensibilidad que el poeta lírico, representa al Cristo y a su Madre de una manera más patética o sonriente, en contraste con el hieratismo bizantino y la inexpresividad

de las imágenes de los siglos anteriores. San Francisco de Asís presenta un mundo hechura de Dios, no como enemigo del alma, sino como escenario ameno donde el hombre se une en hermandad con todas las criaturas. La Virgen románica era sólo un trono donde se sentaba un niño-Dios incomunicante; ahora es una Virgen-madre que sonríe y juega con un Dios mortal. Y lo mismo el Cristo: a los inexpresivos crucifijos cluniancenses los reemplaza un Cristo sensitivo que reclina su cabeza sobre su cuerpo macerado de hombre mortal. Ha aparecido, pues, un nuevo realismo que se hará patente en la literatura y el arte de los siglos XIV y XV.

La prosa alfonsina recoge ideas del saber universal a través de la Escuela de Traductores de Toledo, de la misma manera que los edificios góticos son obras de numerosos artistas que los construyen con arreglo a normas universales. Internacionalismo gótico frente a localismo románico. La obra política y literaria de Alfonso el Sabio tiene intención universal: su quehacer intelectual se enfoca hacia el presente, el pasado y el porvenir del hombre, e incluso concentra en Toledo hombres de distintos credos, lenguas y culturas.

La obra de este rey que aspira a emperador es enciclopédica, como lo es la decoración de una catedral gótica y así, enciclopedias, llamó Víctor Hugo a estos monumentos comunales. En ellos se representan en arquivoltas y capiteles las historias bíblicas, los milagros de la Virgen y de los santos, los seres de los reinos animal y vegetal, los trabajos de la siembra, la recolección y la vendimia, los reyes y prelados, los astros y los meteoros, el fragor de las batallas y las embajadas de paz. Y de la misma manera que la ciencia oriental, recogida de los griegos y puesta en romance por los judíos de la Escuela, empieza a manifestarse en la literatura, los monumentos cristianos comienzan a mostrar en su decoración los primeros ribetes de mudejarismo a finales del siglo XIII. Y su centro principal también es Toledo, encrucijada de culturas, cross-road entre Oriente y Occidente, "eslabón entre la Cristiandad y el Islam," en frase de Menéndez Pidal. Las numerosas iglesias mudéjares de Toledo no son más que un reflejo del intercambio cultural de moros, judíos y cristianos, ejemplo magnífico de convivencia, lejos de la enconada rivalidad de nuestros días.

El siglo XIV sigue ofreciéndonos evidentes concordancias entre las artes plásticas y las de la palabra. El mudejarismo patente en el Libro de Buen Amor y en los apólogos de don Juan Manuel, el matiz oriental árabe y hebreo que se descubre en personajes, léxico, fábula y métrica, corre parejas con los edificios mudéjares a que aludimos y que se levantan en su mayor parte en Castillo la Nueva. Este reino de Toledo, como así se llamaba entonces a Castilla la Nueva, es el centro donde se ensamblan la tradición árabe, el saber judío y la dirección literaria de Castilla. De este nueva Castilla son los dos Arcipreses, el de Hita y el de Talavera, es Fernando de Rojas, el anónimo autor de Lazarillo de Tormes y Cervantes. Toledo es también un foco de arte mudéjar, estilo sencillo, popular, de materiales pobre, pero elegante en sus líneas. Así es la literatura concordante, enraizada en el hablar y sentir del pueblo. Toledo impone su lengua, que va a ser el modelo del buen decir y escribir. En Toledo se van a conjugar también tres estilos artísticos, el mudéjar, el gótico y el nuevo estilo que viene de Italia, el renaciente español o plateresco. De este tiempo son los últimos castillos, de estilo gótico-mudéjar o gótico-renacentista: castillos que ya son quasi-palacios. Unos y otros estilos se mezclan, como en el Arcipreste alterna el zéjel con la cuaderna vía.

Pero de Italia viene también la corriente dantesca y petrarquista que da carácter a parte de la obra de Santillana y a la de Juan de Mena. Italianismo patente en la decoración del castillo-palacio de Manzanares. Y a la compilación conceptista y barroca de los Cancioneros, a sus agudezas y juegos de palabras, a la sátira y a la burla, corresponden la agobiante decoración del gótico florido, la sofistiquería de sus arcos multiformes, su abundante imaginería, sus columnas con filigranas de piedra en estilización abstracta, como abstrusos son los poetas de Cancionero, en paralelo sorprendente. El centro de gravedad artística se desplaza ahora a Burgos, como en literatura el centro es la corte burgalesa de Juan II. La sátira patente o escondida en las sillerías de coro de las catedrales, en las gárgolas, en los tímpanos de los pórticos, es paralela a las coplas de Mingo Revulgo o ¡Ay, Panadera! Y a la decoración renacentista que llena las fachadas de un laberinto de grutescos, genios y figurillas que imitan el estilo romano de Pompeya, corresponde la vena laberíntica de Juan de Mena, colmada de latinismos, expresiones acuñadas por los primeros humanistas.

El arte del primer Renacimiento imita la lírica del Petrarca en literatura y el plateresco florentino en arquitectura. Recordemos la égloga segunda de Garcilaso acompañando al maestro Dámaso Alonso en su comentario (Poesía española), para notar cómo el poeta toledano teje con sus endecasílabos las descripciones de la naturaleza, dentro de la fronteras académicas del metro y de la rima. De la misma manera la fachada plateresca de la universidad de Salamanca o del Hospital de Santa Cruz de Toledo despliegan ante nuestros ojos el tapiz afiligranado de una naturaleza amable en sus doradas piedras, pero simepre dentro de unas líneas precisas y patentes, lejos todavía de las contorsiones del barroco. Y siguiendo la misma línea de evolución de los estilos artísticos ¿por qué no hallar una similitud entre los versos sobrios, justos y precisos de Fray Luis de León y la severidad geométrica de El Escorial, donde Juan de Herrera prescindió de toda ornamentación que rompiera las líneas sobrias y precisas de sus pétreos perfiles? El maestro de Salamanca quiere cerrar los oídos a los ecos mundanales para encontrar la armonía de las esferas; Herrera, igualmente, busca una euritmia arquitectónica, dejando a un lado todo lo que impida la armonía de líneas de su realización.

Pero entramos ya en el barroco, término difícil de explicar. Barroco quevedesco de concepto, escueto y denso; barroco gongorino de filigranas complicadas de lenguaje. Lo mismo encontramos en las

obras de nuestros artistas del cincel, la paleta o la plomada. Al primero corresponden en las Bellas Artes las severas tallas de los imagineros, la profundidad de los cuadros de Velázquez, en paralelo con el perspectivismo del Quijote, como nos recuerda H. Hatzfeld en sus Estudios sobre el Barroco, y los cuadros de Valdés Leal sobre la brevedad de la vida, tema persistente del autor de los Sueños. A los poemas de Góngora, donde se quiebra la cláusula y la lengua se puebla de tropos y figuras, se coloca en paralelo el barroco arquitectónico de los edificios que se alzan en todo el mundo hispánico, en los que las líneas se quiebran, se retuercen las columnas, se superponen los planos y la vista ha de estar atenta para captar la intención del arquitecto, igual que la mente ha de estar atenta para descubrir las imágenes que se esconden en los versos culteranos.

Pero hemos dejado pasar a nuestro típico y hermoso Romancero. ¿Cómo encontrar un paralelo a este "sartal de hermosas joyas literarias," como le llamó Menéndez Pelayo? A esta caudalosa producción anónima salida del pueblo, yo le hallo concordancia en la labor callada y anónima de los artesanos que rellenan y completan los espacios de las artes mayores: el virtuosismo y la gracia de la orfebrería toledana, de la cerámica de Manises y Talavera, de los bordados de Lagartera, de las forjas catalanas y las rejas vascongadas, de los vidrios mallorquines, de los faroles de Lucena, de la taracea granadina, de las vihuelas y guitarras, de los bargueños toledanos, los guadamecíes cordobeses y en una palabra, las tallas labradas y decoradas por anónimos doradores, estuquistas, alarifes y carpinteros. E igual que el Romancero se extiende por toda la Hispanidad, habría que añadir, en feliz conjunción de estilos--como se fundieron las razas de sus artesanos--la orfebrería y la cerámica mejicanas, las ruanas bogotanas, los repujados peruanos en cuero de alpacas y vicuñas, las polleras panameñas, las vistosas mantas que tejen los indios del altiplano y de América Central, los ponchos, sombreros y bordados.... Eso es el Romancero artístico, obra apócrifa de hábiles artesanos.

A los llamados excesos del barroco sigue el frío academicismo del neoclásico, las normas de las Academias, la censura artístico-literaria que nos llega de Francia, frenando todo lo que ésta define como contrario a lo bueno, a lo bello, a lo útil. Se encuandran las líneas del drama lo mismo que se recortan los jardines y se limitan los parterres, y unos y otros se pueblan de marmóreas mitologías: Corneille, Racine... Versailles, La Granja, Aranjuez. Basta recordar los títulos de las tragedias para encontrar su réplica en las estatuas de dioses, musas y amorcillos que pueblan los versallescos jardines. Pero por debajo de este intelectualismo de la edad de la razón corre una vena popular muy española de manolas y chisperos. Son los tipos que retrata Goya en sus tapices y grabados, reflejo fiel de los que viven en los sainetes de don Ramón de la Cruz.

Y así podríamos seguir encontrando analogías y similitudes entre las artes de la palabra y las plásticas, puesto que unas y otras son manifestaciones de la función social del arte y de la búsqueda de la belleza. El Romanticismo se halla lo mismo en los cuadros de Fortuny y Rosales como en la poesía de Espronceda y Zorrilla. El costumbrismo de El Solitario y de Fernán Caballero halla su eco en los paisajes fantásticos de Alenza y Pérez Villaamil, paisajes de una España pintoresca de cupletistas, bandoleros y toreros. Las extensas novelas históricas de Gil y Carrasco y Navarro Villoslada tienen su paralelo en los extensos lienzos de Gisbert ("El fusilamiento de Torrijos"), de Rosales, de Muñoz Degrain, de Madrazo. Al realismo de la novela del XIX, corresponde el realismo pictórico, casi fotográfico, de Vicente López, de Moreno Carbonero, de Sorolla, que prestan atención al realismo del espacio y a la luz que recibe. Este último pintor valenciano es la réplica pictórica del valencianismo de las novelas regionales de Blasco Ibáñez. Y, en general, a la ausencia de una escuela pictórica determinada, como el impresionismo, casi inexistente en España, salvo los intentos de Rosales o de Sorolla, se corresponde una ausencia de literatura de perfiles o bosquejos, como haría más tarde Cela en La colmena. Y cuando las normas académicas se rompen por un aluvión de ismos, expresionismo, cubismo, surrealismo, fauvismo, se rompen también las normas en literatura y los autores requieren su personalidad y su personal estilo, sin dejar más escuela o perfil que la que los críticos quieran asignarles. Pero hay personalidades relevantes or rebeldes, entre los del 98, como Solana y Zuloaga, de trazo viril y combrío, como más tarde entre los pintores, los mejicanos Rivera y Siqueiros, que llevan a sus lienzos las auras apasionadas de la revolución, en concordancia con la novela coetánea. Los pintores del 98--recordamos ahora el Quijote de Zuloaga--reflejan la mentalidad de Ganivet, de Costa, de Baroja y de Unamuno. Se buscan nuevas formas de expresión, se intenta salir de la corriente: Juan Ramón hace poesía en prosa, Picasso y Juan Gris tantean los todavía inseguros pasos del cubismo, Miró nos lleva a un mundo de infracuerpos, plasmas y espiroquetas y así hasta lo abstracto, la distorsión de líneas, planos y volúmenes, que encuentra su paralelo en el tremendismo y el absurdo, en los mundos entrevistos, oníricos, semipensados de Borges, de Cortázar, de Fuentes, de García Márquez, o en la sintaxis de Goytisolo o La casa verde. Y cada artísta, con la palabra, el plano o la paleta busca su propio camino, artífice de su propia senda....

En fin, los límites que se me imponen no me permiten puntualizar más específicamente sobre la concordancia que enuncié al principio de estas líneas, pero subrayo como axioma indiscutible que el estudio de la lengua y su producto la literatura--y no olvidemos que se ha afirmado que aquélla es el personaje principal de ésta--debe tener el eco de la referencia artística, puesto que son expresiones concomitantes de una misma sensibilidad.

# UNDERSTANDING FRENCH THROUGH FILM
## EXPERIMENTAL PROJECT: A FIRST REPORT

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This paper describes an experiment using a single full-length feature film for the purpose of helping American students who have not lived extensively abroad come closer to a native-like comprehension of native-like speech--spoken, I might add, at native-like speed.

So far, this experiment has gone through three different phases, with a fourth one in the planning stage. The first stage, undertaken some years ago, did not actually involve the use of a film but rather of a play when the opportunity presented itself to experiment with an intensive beginners' course in French which had been planned to meet three hours a day for five weeks.

I decided to teach directly from a modern play and settled on Pagnol's Topaze, which I meant to use without any supporting grammar book. I planned to explain briefly what needed explaining, just enough to make the text of the play comprehensible to the students.

Very little English was spoken in the classroom, except for my very brief comments on vocabulary and grammar. The students' pleasure came from the fact that they were having a taste of their own fluency in a foreign language.

By the second week, the students were acting out scenes from the play, paraphrasing the dialogue and explaining to their classmates what was happening in each scene. I was not teaching French grammar, of course, only French. The students were plunged into the text and were enjoying it in part because they were not at the same time being put through the language of grammatical analysis. They were not being taught how to teach a language which they were in fact just learning themselves. They were plunged into a new language the way an immigrant might be and were struggling to survive.

What was temporarily avoided was the stressful and distracting situation of trying to develop both fluency in the language proper while freezing the fluency to discuss the language, to attempt at the same time to learn the technical language of grammatical analysis.

I am not arguing against the study of grammar. I simply think that it is more effective to study it after the student has absorbed and therefore has available to him, on reflex, hundreds of sentences to which the grammar teacher can then refer as he introduces the student to a coherent over-view (rather than piecemeal) presentation of the nature and subtleties of French grammar.

One of my students who mistakenly thought he had at last found a teacher who disliked grammar as much as he did dubbed this method the "John Wayne shooting-from-the-hip" approach to language teaching. That colorful description sounded appealing to me until the student added that he had just read the Pastoral Symphony by "Audry Guide" and liked it really well. That, I felt, was getting a wee bit too folksy.

The method I am describing is, of course, not very different from that used in other efforts to create an immediate contact with the language. However, with a play or a film, the text is not a serie of disconnected dialogues. If well chosen, it can create instant motivation, fed by curiosity, identification with characters and situations, and , at a deeper level of consciousness, a dimly perceived feeling that the text or film is somehow talking about important human experiences and not merely teaching skills.

La Symphonie Pastorale, the film chosen, is Jean Delanoy's adaptation of André Gide's récit, with Pierre Blanchard and Michelle Morgan in the title roles. The copy used had no English subtitles.

What a film can do that a play cannot is to provide models of speaking, of gesture, plus a dramatic visual setting and haunting musical support, in this case, the music of Georges Auric, especially composed for the film. Furthermore, if the film is based on a major work of literature, the written text and the film can be closely compared, thus involving the students in the study of certain modes of expression which are, in fact, intimately connected to the language--non-verbal elements which we normally neglect when we teach French in a conventional cla-sroom situation. If these can be important factors in human communication, should they not also count and be stressed in language learning?

Carl Croneberg, in a recent review of Laurence Wylie's little book on French gestures, impishly entitled Beaux-Gestes, A Guide to French "Body Talk," points out that "man uses his brainpower at only about one-fourth capacity. I believe that people similarly use their power to communicate at no more than about one-fifth capacity. We often just stand there, face expressionless, arms hanging slack, eyes stationary, voice droning out language noises, getting neither at nor into each other, the message to be communicated. We are disembodied voices; our bodies are only somnolent casings of skin, hair, flesh, and bone."[1]

I do not mean to suggest that we all start making fools of ourselves in the classroom by attempting to teach a variety of mime and other acting skills. I am saying, however, that films offer the unique experience of total language and that exposure to them would bridge the gap between the well-meaning teacher who stands there verbalizing as best he or she can and the total experience films can provide.

When I speak of using films, I am not proposing that we show as many films as our budget can afford. I mean working at great length with one film at a time, going over each scene so thoroughly that the students come to know each minute of the film intimately. This requires many hours of viewing, of listening on a separate sound track, of testing, of phonetic transcriptions, and also of wonderful free-for-all conversations in French which remind one of those glorious moments when, after tediously practicing on a musical instrument, one suddenly lets go, forgetting the printed musical exercise, and begins joyfully to improvise and make music!

A good test for choosing the film is that it must be rich enough to sustain being viewed and heard many, many times. I must have been lucky with the Symphonie Pastorale, for I have worked with students who have heard certain sections of the film thirty to fifty times and who have never expressed a sense of boredom. On the contrary, from all the reports I have received so far, it seems the more contact made with this film, the richer an insight they get into the language by being attentive to intonations, innuendos, and of course, the non-verbal content, which includes gestures, silences, facial expressions, not to mention the actual quality of the voices themselves.

During the first phase of this project, I had available only ten days of a pre-summer session. Ten students signed up for a deep-immersion course. We worked initially six hours a day, three hours in the morning, three in the afternoon, with a two-hour break for lunch. By the second day, the students asked if we would run the entire film from noon until two o'clock during their lunch hour. They wanted to make repeated contact with the entire film in addition to working intensively with short segments. During each actual working day, we were studying only a ten to twelve minute segment of the film. The objective was to reach total comprehension of that segment. At the end of the ten days, we had covered the entire film. The request for a daily viewing of the full-length film was in itself a very encouraging development. The students had been hooked. The story had become gripping, and by the end of the first week, even those students with the shakiest French background were wiping their eyes and needed a little time to recover.

My assessment of the results is that we ended with a ratio of about 80% of testable comprehension. Testing included instant oral paraphrasing from the typed French script, oral translation from the sound track, translation of phrases given orally out of context, isolated vocabulary, and interpretation of a given scene shown on film.

Lack of space forces me to omit many interesting pedagogical experiments undertaken with this film, but I cannot resist mentioning one: we showed the film initially without sound--to force attention upon the non-verbal elements. The class discussion that followed revealed an amazing degree of comprehension in a group in which not one student had read the Gide story. I had given them only a one-line explanation of the plot before the viewing.

We under-use the students' talents acquired in other disciplines and in life itself if we force them onto a narrow-gauge linguistic and grammatical track. But we also undermine their ability to acquire the very skills we yearn to teach and hope they will learn if we strip the language down to its leanest possible structure. It lives in a much vaster landscape than we traditionally acknowledge, and this in spite of many lessons learned in literature classes from Villon to Proust about the rich setting in which language lives.

I should like to comment about the use of the play script. The film I chose to work with turned out to have no script available. It had to be made by taking it down phrase by phrase from the sound track. Now that I have a complete script, I have the option of using it in class or not. In the short deep-immersion project I described, the students were given the script. We thought of working without the script, but they were not sufficiently advanced to be able to do that (they had had about two years of college French). In our next project, we will invite only advanced undergraduate students who are already able to read and write the language but who could not comprehend the film without the assistance of subtitles. We will be using the same film. This time, however, we will ask the students to produce a script.

In the deep-immersion experience, we did a great deal of listening together in order to answer the questions: "What did you hear? Exactly what did you hear? What sound did you hear?" These students, of course, had been "contaminated" by their experience with orthography, and we were hoping to make them listen very attentively to improve their ability to hear. But in so doing, we resorted to what is, in fact, another visual pattern, namely, phonetic transcription. That may not have been wise, but it seemed to work at the time. We transcribed very carefully what we heard using the International Phonetic Alphabet. In the future, we will move altogether away from any visual orthographic pattern and simply work orally. That is probably the better solution although it takes more time. Even in the experiment we conducted, the students, using a copy of the sound track on cassette, were able to recite practically from memory long portions of the tape as well as paraphrase the spoken text.

The real problem was speed, especially in the early days. How fast could they actually reproduce the sounds? While our objective was understanding everything spoken in the film, it quickly became clear that one had to overshoot the objective of the course in order to get there. To achieve ear training, they were made to speak, at first slowly, then as fast as the film. Whenever we slowed down, we speeded it up again to the point where they could actually understand what was being said at the speed spoken by the actors. Sometimes it took thirty or forty repetitions of a long sentence that in the movie was spoken in anger, for instance, in some of the interesting quarrels that take place in that movie. The students actually practiced saying the lines at that speed until they could repeat them successfully.

In the course of this practice, they discovered that a good many e's are syncopated right out of the language and that while all those e's may be in the script, they are never heard. It is amazing how many years a student can study French and never discover the need to drop a mute e. So this is an eye-opener, even for advanced students. The pronunciation of the students very quickly approached native-like quality, not that they could speak like natives, but there were no longer any gross distortions in their speech. They were picking up by imitation a very acceptable pattern of pronunciation and reproducing it comfortably and quickly when they recalled a segment of the film. They were speaking in a French that any native Frenchman could understand and sometimes, for a minute or two, the foreign accent actually disappeared entirely, which felt extremely encouraging. This was happening by the end of the first week of the two-week period of deep immersion.

On the last day of that deep-immersion phase of our experiment, something very exciting and unexpected happened. The students were given a test in which hundreds of expressions were reviewed. They had to be able to give an instant translation. They also had to be able to explain briefly in French where that phrase occurred in the film. That was in the morning. In the afternoon, the tests were returned corrected, and we went over the material. Suddenly, and it seemed like a miracle, these students with less than two years of French began to break into fluent French conversation about this film, quoting whole sections and discussing the meaning of some of the phrases and some of the situations in which these phrases occurred. We realized then that we had a wonderful instrument for inducing conversation and fluency which we had not sufficiently exploited to that end.

The same course was repeated the following year over an eight-week summer session, meeting only four hours a week. Conversation was listed as one of the objectives, along with, of course, full understanding of the movie. The emphasis was on speaking, once again using a group of students who had had about two years of French. In addition, we videotaped their conversation and gave them the benefit of instant play-back. Laurence Wylie's book on gestures was added, and as a special project, the students made a video film with one or two companions in which they made extensive use of the non-verbal elements of language: gestures, facial expressions, movements of the arms, body posture, etc. They produced charming little films as part of their final exam.

In the next project, which I hope to undertake this coming summer and report on at the MLA next December, the course will be much more demanding for the students. As noted earlier, they will not be given a script this time: as a term project, they each have to produce a complete script. The class meetings will be used in part to discuss in French what each student thought he/she heard in working over the sound track during their homework. The class will thus double as a conversation and a literature course as we begin to probe into the meaning of the film's language. Beyond that, they will be doing oral reports on specific scenes or interpretive essays rather than constructing transcribed statements only.

The novel will be used much more prominently alongside the film this time, and we hope that several important discussions will develop which will contrast the novel with the film. Those who have seen the film and who know the novel are aware that some major changes were made in the script. Two characters were added: namely, a girl friend for Jacques, complete with father, in order to create a more concretely discernable conflict between the pastor and his son. Also, there is a complex theological debate at the end of the novel which is not in the film. It may well be that this could not be filmed, that it was too verbal to be filmed. While the film captures the essence of the novel, the purists will regret that certain scenes are missing. Gide himself, who saw the film, thanked Jean Delanoy for having used his book as a "pretext" (sic) for the making of a very beautiful film. That obviously raises the question as to whether or not and to what extent films can express or merely distort the novels they purport to depict. In any case, film versus book provides a confrontation that can only benefit both.

A final note about the advantages of instant playback: students have told me repeatedly that they do not enroll in advanced conversation classes to learn more French but rather to make better use of the considerable amount of French which is already in them and which they have simply not had an opportunity to use. The availability of instant play-back permits the teacher to let the students speak without interruptions. Corrections can be made later, during the play-back. The interesting benefit of uninterrupted speech is that it generates fluency and in turn, fluency tends to make many mistakes dissappear.

[1]Carl Croneberg, Book Review, New York Times, November 20, 1977, p. 60. Review of Laurence Wylie, Beaux-Gestes. A Guide to French 'Body Talk' (Cambridge, MA.: The Undergraduate Press, 1977).

# A SELF-MOTIVATED AND SELF-DIRECTED SECOND LANGUAGE LEARNER: THE CASE OF HEINRICH SCHLIEMANN

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Heinrich Schliemann, the renowned nineteenth century German archaeologist and excavator of Troy, was born in 1822 in a humble parsonage in Mecklenburg, Northern Germany.[1] As a child Schliemann read a German translation of Homer's "Iliad." Since that day, it was his dream to learn ancient Greek and to search for the legendary city of Troy. In 1842, when his education was cut short by a family scandal, he went to Hamburg and then to Amsterdam to work as an office boy. He began to learn English because he felt that a command of English would advance his business career. Within a short number of years he became fluent in many languages and as a businessman he amassed such a fortune that he was able to follow his childhood dream to discover Troy.

What interests us in this biography is that Heinrich Schliemann learned 18 languages with relative ease and considerable speed. Schliemann was, of course, a highly motivated and self-directed learner, who wanted to proceed quickly and thoroughly. To this end he developed his own methodology of learning. When he learned his first foreign language, English, he studied with a native speaker of that language for one hour each day. He also read out loud for extended periods of time and he wrote a composition every night about a topic of his interest. These compositions were then corrected by his native informant on the following day. After the correction, Schliemann would commit his composition to memory. During his working hours he would utilize every minute to memorize passages of the target language. Since he was an office boy he had many opportunities to recite as he walked along the streets of Amsterdam or while he was waiting in the anterooms of local trading companies. This intensive mental training improved his memory significantly and also accelerated his linguistic progress. Every waking minute was utilized for language learning. While Schliemann waited to fall asleep, he reviewed everything that he had learned during the day, in this manner his studies soon carried over into his hours of sleep.

He also took every opportunity to hear his target language. On Sundays he would attend two English church services, standing in a corner of the church so that he would be able to repeat to himself every word of the sermon. Within six months he learned to speak and write English, in another half year he became fluent in French. In order to acquire the same fluency in Spanish, Italian, and Portuguese, he needed in each case only six weeks. At the age of twenty-two he spoke seven languages: German, Dutch, English, French, Italian, Spanish, and Portuguese.

What can we learn from Heinrich Schliemann's success story in second language acquisition? Most people would claim that he was a linguistic genius, whose extraordinary feats cannot be duplicated by ordinary mortals. However, most outstanding performances in almost any field of study are just as much related to hard work as they are a result of exceptional ability. It is certainly obvious that Schliemann was highly motivated. He had a dream which he wished to realize; everyone of his actions was a step in this direction. He wanted to become successful and financially independent; to attain this goal he had to acquire highly marketable skills. In the commercial world of Amsterdam this meant the mastery of several languages.

From the beginning Schliemann was a highly self-motivated and self-directed learner. He preferred untrained language informants over specialized language teachers because the former would not interfere with his personal learning strategies. Schliemann used the "massive" approach to learning; he made the study of second languages his consuming passion. During the six months of learning English he spent every free minute on this task, after work as well as during working hours. If we assume that he worked for ten hours as an office boy and messenger, he had many opportunities to practice English on the streets and in offices. This practice during working hours may have amounted to at least 4 hours per day; during the evening he may have spent another three to four hours in study and review. On Sundays he may have studied for as many as ten hours. With seven hours on weekdays and ten hours on Sundays he could have amassed the conservative estimate of 1350 hours of English in six months. The miracle of the linguistic genius looks now more like the outstanding achievement of the highly motivated autodidact. If one combines 1350 hours of intensive study with highly effective learning strategies, one can surmise that such results could be duplicated by others, if only learners were willing to dedicate themselves to the task in a similar manner. But even if we do not commit ourselves or others to such a massive and monomanic approach, we can still learn much from Schliemann's techniques.

Schliemann placed great emphasis on mental training by memorizing long passages in the foreign language every day. Above all, he committed to memory his own corrected compositions in the target language. This is indeed a meaningful way to memorize, rich in personal associations: he first chooses a topic of his interest, writes a composition within the limits of his linguistic skills, has the composition corrected, and then memorizes it. In other words, he memorizes something that is essentially his own, something with which he has previously worked, something which is therefore very meaningful. It is not surprising that he would achieve high recall with such passages. As a result of daily rigorous memorization he increased his memory to such an extent, that he could remember any passage after only three readings. Thus, we cannot simply speak of Schliemann as a learner with a photographic memory who looks at something once to retain it from then on; rather we can see that rigorous mental training leads to very gratifying results.

Schliemann would use another striking learning strategy: on account of his intense study habits he would get so hyperactive that he was often unable to fall asleep for a long time. He used this time in bed to review what he had learned during the day. Most everyone knows from his own observations, whatever occupies us intensely during waking hours may very readily carry over into our dreams. Every night we go through several periods of REM sleep (Rapid Eye Movement sleep).[2] REM sleep is essentially a period of mental activity. If we have the right kind of stimulation during waking hours, we may get an involuntary recall or review during a dream.

Most serious language learners know what an exhilarating experience it is to dream in the target language. Even if we remember very little of the dream it is an exciting and reassuring sign that intense study of the target language is penetrating the deeper levels of our mind.

Schliemann was a dynamic language learner, who devised learning strategies to make his studies more life-like. While learning Russian, he had to move three times, because neighbours were disturbed by his loud readings and recitations. Since he could not find a native speaker of Russian in Amsterdam he hired an old gentleman to listen to him, although this man could not understand one word of Russian, Schliemann felt that this audience was infinitely better than having no audience at all. He would also pace up and down his room as he was speaking or reciting in the foreign language, perhaps because he learned so much while delivering messages in Amsterdam. Without being fully aware of it, he strengthened the retention of learned material by accompanying the learning task with ambulatory motor activity and perhaps associating this learning with a number of places (loci) perhaps very similar to the ancient art of mnemonics.[3]

Schliemann's success story provides also some significant evidence for positive transfer. Through effective learning strategies he taught himself English and French in six months. When he subsequently learned further languages, he had perfected his learning techniques to such an extent and had profited so much from Latin and Greek roots in English and French, that he could learn Italian, Spanish, and Portuguese within six weeks each.

Schliemann also realized the economy and effectiveness of contextual learning. He studied modern Greek by getting himself a translation of "Paul et Virginie," he read through the Greek translation by comparing each word with the French original. After one reading of the novel he claimed to have mastered fifty percent of the vocabulary of the book. After one additional comparative reading, he knew most vocabulary items without having wasted countless hours in searching for translations in a dictionary.

Let us now consider once more the time element of Schliemann's study of English. He achieved functional mastery of English after approximately 1350 hours of very intensive, highly motivated, and self-directed language study. By comparison, if a student at a high school, college, or university were to have 3 hours of second language instruction per week for one academic year, he would have been exposed to a second language for approximately 108 hours. If we add to this as many hours of frequently inefficiently structured home study, we do not have to be surprised about the results. At this rate a student would have to study at least six to seven years to accomplish what Schliemann could achieve in six months. However, since few students would be as highly motivated, and since learning spread over such a long period of time would incur much pro-active and retroactive interference from past and subsequent learning, it is more likely that the language learner in the classroom would perhaps need 10 or more years of language study to equal Schliemann's attainment.

Perhaps we ought to communicate more clearly to second language learners and to the community at large that learning a second language in a classroom is one of the most difficult learning tasks for a human being and that although we can teach someone the basics within the limits of our curriculum, functional mastery of a second language would require a considerable additional effort on the part of the learner, perhaps within the context of a country where the target language is spoken.

We should also communicate more clearly to the second language learner that he is responsible for his own learning. This is obviously more easily said than brought about. Students generally expect too much from school and college. Often they perceive these institutions of knowledge as mental filling stations where teachers and professors equipped with "Nürnberg funnels" are replenishing empty heads. This impression has also been fostered by the proponents of psychological associationism who claim that learning is a process of habit formation. From this point of view the learner is seen as a more or less willing but essentially passive stimulus-response organism. This school of thought would tend to believe in programmed instruction, utilizing the language laboratory, and even computer programs to expose students to carefully structured learning experiences. While this model of instruction may be useful for remedial work and some individualized programs, it does not tap the inquisitive and creative impulses nor the insights of a self-directed and self-motivated language learner.

If on the other hand we accept the postulate of modern linguistics and of cognitive psychology that language is a system of words and rules with an infinite number of possible utterances, we must then realize that teaching will never be enough, that it will never be able to prepare the learner sufficiently for real life in the second language community. Only self-motivated, self-directed, and inquisitive learners can make the dream of functional bilingualism come true.

The sooner we give students the opportunity to become self-directed language learners who generate language according to their communicative needs, the sooner we can expect personal fulfilment and linguistic competence in the second language classroom.

We can help the learner in this task by first of all explaining to him the power of motivation and showing him how he can motivate himself. Second, we must teach the learner how to structure his time to maximize learning effectiveness. Third, we must show him how to study effectively by profiting from the empirical evidence provided by the psychology of verbal learning and the ancient practical wisdom of the art of mnemonics. If we take these suggestions seriously, the teaching of second languages will become more than the mere transmission of the subject matter, it will also teach learners how to learn a second language effectively.

## Notes

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# AN EXPERIMENT IN NON-PROFESSIONAL CRITICISM

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It is often difficult to convince students of literature of the fact that the productive evaluation of literary texts is not only an art but also a science. It is an art because each case requires a different approach uniquely suited to the text under investigation. It is a science because specialized training, logical thinking, experience, and craftsmanship are as indispensable to the literary critic as they are to any scientist who wants to arrive at a valid conclusion about the nature of a physical phenomenon.

The fact that analysts of literature all along have seized upon different aspects of a given text and have thus arrived at different if not contradictory conclusions, often leads students to believe that anyone can be a critic of literature provided he can read and write. Indeed, while there are few generally accepted criteria which would guarantee the quality of a primary work of literature, there are even fewer criteria by which to judge the secondary products of literary critics. Hence it is the rare student (or scholar for that matter) who is able to discern superior quality in a piece of literary criticism which is not his own.

Since most fictional works of literature are not written or intended for critics in the first place but for the general, presumably open-minded, and unbiased public, would it be possible that a sensitive reader without any specific scholarly background in literature may do just as good or better a job of evaluating current productions of fiction as any critic or scholar? Is there a conceivable experiment which would test the critical insight of the average reader against that of a more experienced student of literature? And how could such an experiment be conducted?

To start with, a text of some significance would be required, a work unburdened by traditional or preconceived value judgments. (Clearly: Shakespeare or Goethe would not do.) It would have to be a text--such as a new novel by a contemporary author--with the potential of rating anywhere between a "total flop" and a significant work of art. The challenge to evaluate such a text critically could then be provided by means of a public contest. Except for professional critics anyone capable of reading and writing could participate. Cash prizes up to (say) a thousand dollars would be awarded for (say) the fifty best reviews and the names of the winners and the text of the two best papers would be published. Who should select these winning papers? No professional critics or scholars, but a group of neutral judges would form the "jury." Such a jury would be composed of persons with a general range of experience in evaluating products of literature. There could be one or two editors, for example, a creative writer, a librarian, a publisher, and a bookstore owner.

Given such a contest, sponsored preferably by a neutral, independent organization, what response could be expected? What kind of readers would participate in the contest and what would be their educational backgrounds? Who would win the prizes? Would they fall to more or less experienced students of literature, or would they be obtained by readers who had never tried their hand at publishing before? Would they be university graduates, high school students, teachers of literature, retired citizens, housewives, or others? And a question which is perhaps more important: Would such a contest reveal some surprising new talent? Would it produce some new and more original approaches to the practice of literary criticism. What criteria would be used by the judges in order to select the best entries?

In this paper I would like to report on the actual results of such a contest. It was conducted in the fall of 1977 by the Deutschlandfunk (a West-German radio station devoted to the propagation of cultural programs in Europe) under conditions closely resembling those outlined above.[1]

The new text which had all the potential of turning out to be a failure or a considerable success was the long anticipated 700 page novel by Günter Grass entitled Der Butt (The Flounder). The contest by the Deutschlandfunk which set out to discover new critical talent was widely publicized in leading newspapers and other media. The two first prizes were each a 1000 DM. In addition there were 50 book prizes worth 50 DM each. The publishing date of the new novel was August 10, and the deadline for all contest entries was set at September 10, 1977. The length of the entries was not to exceed five ms. pages or fifteen minutes of reading time. Instead of the names of the contestants a code number and code word had to be used to identify the entries. The Deutschlandfunk then devoted two programs to the results of this experiment. The first program took place on October 16. Of the 350 entries received, the two first prize winners were identified and their papers were read over the air. In addition, extracts from one other entry were read which had not received a cash prize because its length exceeded contest regulations. This entry, a team effort by a senior high school class in Stuttgart, consisted of a kind of radio play produced by a montage of different voices on tape. Conversations and casual comments on the new novel by students and other readers were recorded against the background of an interview with the author. The jargon of the high school students reflected ironically many of the clichés acquired in literature classes. But the conversations also demonstrated how the author's notions, images, and style served teenage readers to identify their sexual roles and expectations. Clearly, this contribution was uniquely suited for reproduction over the air, and its non-conforming authors deserved special recognition.

A second program dealing with the results of the contest was broadcast on December 7. It was based in part on a short questionnaire which had been sent out to all the contest participants and which was returned by roughly two-thirds of them. Its purpose was to collect data about the main areas of interest, the preferred media of information, the educational and professional background, age brackets, and previous writing or publishing experience of the contestants. The core of this second program, entitled "Big Fish Have Many Parasites," consisted of a discussion by three members of the jury. The judges compared the motivations and expectations which had led to the contest in the first place to the actual results that were produced by this experiment.

In trying to retrace the ideas which had triggered the contest the discussants reconstructed the following motivating factors: (1) The attempt to break out from the ghetto of established criticism because it had provoked a series of negative opinions, for example, that critical writing is aimed exclusively at professionals who take certain standards and levels of education for granted with the result that this kind of criticism goes over the head of most. (2) The contest was to challenge the general assumption that most judgments about literature are merely opinions of a few critics. Hence the question: would the ideas of the average reader about a work of fiction differ essentially from those offered by literary critics? (3) It had been hoped that the contest might produce new forms of literary communication. Traditionally the criticism of literature is tied up with a specific culture of writing. Perhaps it could be emancipated from this tradition.

In this respect the tape sketch of the Stuttgart high school class served as an example of a different form and medium of communication. There had been a few more attempts to deviate from traditional forms of criticism, such as short critical poems, or personal letters and pleas to the leading characters of the novel. But on the whole the traditional essay form, more or less seminar paper style, had prevailed. Thus the contest experiment had failed to turn up a formal approach which would deviate successfully from the accepted norm.

Another result hoped for but not successfully realized was an expression of the immediate and spontaneous reaction of the "silent majority" of readers. While it had been the purpose of the contest to give these usually silent and passive readers a chance to articulate their judgment, the members of the jury had been unable to discover the spontaneous voice of such readers. To be sure there was no lack of highly subjective approaches and viewpoints. But these seemed to get stuck, as it were, in their own subjectivity, in the realm of the personal and the private. According to the samples presented such papers did not achieve a degree of communication intelligible to the general listeners of radio programs.

In the absence of unusual or highly original presentations the jury felt compelled to reconsider the legitimate claims of their listening audience. This led to a re-examination of the criteria which were ultimately applied in the selection of prize-winning entries. In order to define the task of literary criticism with regard to its consumers, the panel agreed on four points. In the first place the listeners were entitled to some information about the content and subject matter of the book in question. However, the job of the critic would not end with a mere description of the book's content. He would then have to sum up his reading impressions in an evaluative manner. Third, the work of the critic should open up some avenues of interpretation. It should offer some access to possible meanings, especially of the so-called "darker passages" of a novel, passages which may not be immediately intelligible. Finally, the entire presentation should have a clearly understandable and, if possible, attractive form. It should be interesting to read and to listen to.

While the prize-winning papers which had been read in the first contest program closely fulfilled these criteria, some typical extracts from other entries were now quoted. They were "typical" because they reflected certain attitudes, approaches, and reproaches which fell into neat categories. For example, many contestants seemed to have a passion for so-called "cultural criticism." They expressed disgust with all aspects of advertising relating to the publication of a new novel; they were contemptuous of the high first printing figures, and they scorned the fact that the author had given public readings from his work while it was still in preparation. Even the purchase price of the book became the subject of commentary and criticism. Because of the size of the first edition, it had actually been quite moderate for a 700 page volume.

Another subject of controversy were genre considerations as they seemed to be remembered by most readers from high school days. However, the question whether the new book could be rightly called a novel did not prove very helpful in the overall evaluation.

An inexhaustible source of comments was the topic: the author and sexuality--or, more specifically--the readers and the forms of sexuality to be found with this author. A remarkable number of readers reacted against any violation of sexual taboos with a sense of delicacy that was readily offended. Apparently some reviewers never got further than protesting the indecencies of the book because the passages in question had to be demonstrated in detail.

The panel discussants professed that they were amazed at the wide variety of opposing judgments coming from intelligent people, on one and the same chapter or even detail of the text. With single elements or parts of the novel provoking such different responses, it was not surprising that the overall evaluation turned out to be controversial. Approximately half of the contestants concluded that the book had some positive qualities: it was important, interesting, could be read with pleasure and profit,

or was even a great and prizeworthy work. About 20% of the entries carefully balanced or split their judgment, or refused to make any evaluative statement. Almost a third of the contest participants declared the novel an outright failure, described it as regressive, boring, decadent, and disappointing. In just a few reviews, negative or positive, purely literary criteria prevailed. But generally the judgment was based on arguments of content, i.e. the author's attitude regarding contemporary social and cultural questions, above all the question of women's liberation, which happened to be one of the key issues of this book.

It seemed to the panel that the reception of the novel within the contest had more or less anticipated its reception by the reading public at large. It had been interesting to observe how the literary critics for the various newspapers, in reviewing the book, had adapted their style to that of the author. They had been immersed in the specific forms of the author's irony, his play with metaphors, his use of ellipses, to the point that their presentation of the novel or their arguments against it exhibited similar stylistic patterns. The magnetic field of the author's irony had similarly attracted the majority of contest participants. The judges felt that this kind of parody was hard to resist and moreover that it was fun. The attempts to counter the style of the novel with its opposite in the reviews proved quite difficult and resulted as a rule in a rather dry academic jargon.

This latter observation finally raised the question about the social and educational background of the contestants. Who were the participants? As mentioned earlier, only about two-thirds of the contestants returned the post-contest questionnaire. Hence the results are not entirely representative. Of the approximately 235 contestants who returned the questionnaire, 88% regularly followed the review sections of daily and weekly newspapers, and almost two-thirds had professional contact with literature; for example, as teachers, librarians, or book dealers. Those who had not answered this particular question were presumably students who were actually involved with literature, but not yet professionally. For just under half (48.9% of the participants, this contest was a first attempt at any journalistic activity. However, more than two-thirds had published before (when the question included any kind of publication). This led to the conclusion that only about one-third of the contestants were literary lay people in the strict sense of the word. Moreover, the panel of judges assumed that the majority of all contestants had some kind of previous writing experience but without the chance at publication. This was interpreted to mean that the absolute layperson who had made no attempt at writing before was scarcely to be found among the 350 participants of this contest. The distribution of participants in terms of age groups was as follows: 8% of the contestants were 20 years or younger; 37% (the largest group) were between 20 and 30 years old; 26% were 31-40; 11% were 41-50; 18% were over fifty; 9% of these were over 61. I am not sure what conclusions may be drawn from this age distribution curve, presumably not that the 21-40 year olds are the most interested in literature. Perhaps they feel more confident about their judgment and their ability to word it than the younger and older age groups. The oldest participant, by the way, was 83. His concluding statement about the novel under discussion would read in English: "Talented epic writer, high imagination, hard truth, versatility, a human being!"

In analyzing the educational background of the participants one has to take into consideration the different school systems and overall educational requirements and opportunities. Here are the results: 2% had finished their basic elementary education (Volksschule); 8% had an intermediate level high school diploma (Mittlere Reife); 21% had some form of baccalaureat (Abitur); and 69% had attended a university.

On the basis of these figures the panel arrived at the conclusion that a highly educated elite of readers had responded to the contest, but that this group of readers had turned out in surprisingly large numbers. Perhaps it would also be appropriate to point out that in this day and age readers of 700 page novels are likely to represent a certain elite and that moreover the general educational status of Europeans as well as Americans has been raised considerably.

All the prizewinning papers had been forwarded to the author, Günter Grass, who commented briefly. He felt that such experiments should be repeated because the established literary critics were in need of competition. Too few unspent talents with a different critical approach were coming through. The authors, too, should have more opportunities at critical participation. Grass said that he had read the 50 prize-winning papers attentively and that he found many interesting approaches which he would like to see on the review pages of some newspapers.

In conclusion, the panelists felt that although they had not really discovered new critical departures but rather a great deal of conformism to existing standards the experiment had not been unrewarding. It had produced some valuable insight not only for its initiators but also for the contestants and listeners.

It seems to me that the failure of this experiment to prove that "non-professional" criticism is either desireable or possible has shown up yet another dimension of literary criticism. What the evaluating judges have described as a high degree of conformism to the established norms of critical writing is also a confirmation of the validity of these norms. Not anybody able to read and write can replace the professional critic or scholar because there is indeed something to be learned about the fruitful reading and evaluating of literary texts. To be sure, we can't make our students (or ourselves) smarter, but we can educate them, affect their expectations, by directing their critical reading and writing. And while standards of judgment are not absolute but necessarily "handed down" from teacher to

student, they constitute a culture shared by both. In other words, the experiment seems to have shown that training, practice, experience, and discipline in articulating personal impressions are indispensable in order to communicate adequate judgments in the field of literary arts.

Note

[1]The source of all statistical information contained in this report is a transcript of a broadcast by the Deutschlandfunk on December 7, 1977 (8:15-9 pm) entitled: Grosse Fische haben Parasiten. "Der Butt" von Günter Grass und seine Kritiker. The DF was kind enough to forward this transcript to me with permission to quote from it for reference purposes.

# PROFICIENCY TESTING WITH SHORT TERM DIAGNOSTIC FEEDBACK

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The best teachers have always individualized their teaching to some extent and it is by means of valid testing that a good teacher determines the individual needs of his students. He discovers opportunities to teach or reteach a concept, to provide materials selected especially for particular learning problems, to design approaches which will more effectively communicate. He may have some preconceived ideas about what his students need, but it is only through careful evaluation that his attention is drawn to the real learning problems.

We had long been aware of this, but it took changing language requirements in colleges across the country, declining enrollments, and disenchantment with teaching methods to force us to take a closer look at our own program and consider ways of better meeting the needs and interests of our students. A series of faculty meetings and student surveys several years ago resulted in unanimous agreement on some fundamental changes. Recognizing that student performance was the most significant revelator of program strengths and weaknesses, the evaluation of student proficiency became, for us, one of our most critical responsibilities. It seemed that valid measurement was essential for determining proper rates of progression in planned course materials. It was also required for determining types of materials to be used, their effectiveness, and the effectiveness of the teaching techniques employed in utilizing those materials. There were other considerations. Our grading was not uniform across the department. Some teachers were grading high and some were grading low, so that evaluation seemed to be more a function of teacher standards than standards of student performance. The grading that was derived from these inconsistent evaluation procedures was sometimes viewed by the student as a measure of course difficulty, or teacher difficulty, and the tests represented more a threat than a tool of instruction. Our current testing was apparently influencing, at least indirectly, the attitude and sometimes even the quality of students attracted to our courses.

As we reorganized the format of our first year French program, we decided that help sections should be scheduled as student needs dictated, and that these would be determined directly from testing administered independently of the classroom teacher so that the test could also be used to represent a standard of grading across the department. In this way students would be graded according to their achievement and much less according to a teacher's subjective estimation of performance quality. We set about, then, to develop an instrument which would feature such qualities as objectivity, specificity, validity, and efficiency. We went beyond the usual considerations of simple raw scores, or percentage and grade scales, in an attempt to get the most mileage out of the time and effort expended in proficiency testing. Efficiency in our testing was important because of large numbers of students in different class sections and different levels. We needed results quickly in order to allow us time for planning and implementing remedial help sections while the need was recognized by the students themselves. Test validity was essential because of our attempt to control and insure accurate and consistent grading practices. Specificity was necessary because we hoped to provide detailed information for both teachers and students on acute learning problems to allow for the organization and administration of appropriate learning activities with challenges and rewards. Objectivity would give our teachers credibility and our students a greater sense of security in the system.

Hand scoring for three hundred students was out of the question. We had learned that the differences in evaluations from one scorer to the next were too great for equitable grading, and the results of tests were too slowly produced to meet the requirements of our proposed program. Except for the speaking and writing skills, which conventionally require tedious and time consuming evaluation procedures, a proficiency test that could be machine scored would give us the advantages we were looking for. Machine scoring would result in consistent, accurate, economical treatment of student responses without regard to personality, age, sex, appearance, cooperation, or any other factor which normally affects judgement of student performance. This required the development of a large number of valid multiple choice items.

Since this could not be done for the speaking skill, it became necessary to devise an uniform system of evaluating speech production across a dozen or so classes, that would be consistent in its scoring. We revised the scale used by Georgetown University some years ago to determine levels of performance in each of five aspects of speech production using a five point scale (Fig. 1). The problem with writing was not difficult. We limited the writing section of the test to ten items worth two points each to facilitate scoring (Fig. 2). These were of various types, including fractured sentences, transformation, completion, and response. They were carefully written to allow the examinee some freedom of expression within controlled limits while restricting problems to scoreable units. We have had correlations between this and objective sections of the test as high as 95%. The objective, machine scored sections of the test consisted of listening comprehension, reading comprehension, structure control, and culture. The results of hand scored items were converted to scores that could be entered onto the answer sheet that was to be machine scored and the data scanned from that answer sheet were compiled and treated in various ways by the computer (Fig. 3).

This test was successful as a placement, diagnostic, and pretest, and allowed us to achieve instructional goals that were not possible under the old system of each teacher doing his or her own thing. We

administered the test to all beginning students of each level and posted the printout of scores the following day so that teachers could quickly determine the performance of their own students in relation to the whole department. It satisfied the students' desire to see test results early, but did not help when they wanted to know how they did on particular items. We had processed the test to show scores on each of the four parts only. The objective information we acquired about student performance in these basic skills helped us to determine the effectiveness of different teachers, and to some degree, the effectiveness of different teaching styles, though a formal statistical study was not made. The success of this test encouraged us to expand our efforts. We then prepared periodic proficiency tests with computer feed-back on specific concepts so that students could seek out individualized help on their own and teachers could recognize the need for greater teaching effectiveness in identified areas. We developed a computer program for the DEC 10 which converts scanned student responses and teacher entered data into scores or values on any number of concepts tested in a given examination (Fig. 4). The printout provides headings for each concept with an alphabetic or I.D. number listing of student scores for each one. For departmental exams the students are sorted and listed by class section number with means and standard deviations of the individual class groups as well as for the overall departmental listing. Each teacher receives a printout of his class, and the overall listing by student I.D. is posted for student reference. In the program, any headings may be listed. Students learn from the same printout their overall performance in relation to that of their particular class and of the whole department. They see how they have performed on each concept covered by the evaluation. For two semesters we scheduled help sections on topics suggested by the test results. These were repeated several times during the day so that students could find a section to fit into their class schedules. There would normally be three or four different topics in a given day, and students were invited to use any or all of them freely. This plan enjoyed great popularity with the participants, but the number of help sections posed a manpower problem which worsened as we attempted to meet all student needs. We have since turned to CAI, which will allow students to obtain remedial help on any topic tested, and at their own convenience. We are currently entering concepts as fast as the budget will allow and hope eventually to have an instructional sequence available for each major concept in the beginning courses. The titles of these will correspond with the computer printout headings associated with our departmental proficiency exams.

The computer will handle the data in a great variety of ways in a few seconds of time. All of our major departmental tests are largely machine scored, but sections are included for the writing and speaking evaluations. All of the results, even for lengthy tests and large numbers of students, can be posted the same day as the examination. After the answer sheets are optically scanned all the data, including student information and teacher-entered values, are recorded directly on computer tape. The computer scores the tests, accomplishes an item analysis on student responses, provides percentages, standard deviations, means, difficulty and discrimination indices, then arranges the students' names, with their scores, in alphabetic order grouped in class sections.

The item analysis has proved to be very useful for purposes of test development. The standard item analysis for each test shows item by item percentages of responses on each alternative, and a discrimination index for the correct answer (Fig. 5). The discrimination index is a point-biserial correlation which reveals the degree to which an alternative is selected by those scoring high on the test versus those scoring low on the test. Unusually high or low indices, for either difficulty or discrimination, draw our attention to items which may deserve close scrutiny. Only when an item has demonstrated itself to be valid do we interpret its indices in terms of student performance, at least as it relates to proficiency in the language. Our tests have been improved with each administration as the item analysis produces information about item and test performance. It has been found that scores are generally quite accurate indicators of proficiency, as attested by the teachers who work daily with the students in typical classroom activities where language skills are demonstrated.

We have built into the computer program the capability of calculating means and standard deviations for different groups of students classified by their response to a given item (Fig. 6). In this way we can gather data on any parameters we wish to enter into the examination itself, such as male, female, age, previous language study, other language study, specified majors or minors, hours spent in preparation, language lab attendance, etc. Possibilities are limited only by the imagination.

When the computer output is printed for posting and distribution to the teachers, it is also returned to computer tape for permanent storage and possible retrieval at some later date. We have recalled data from two years previous for research on such topics as the effect of pre-college language experience on student success in reaching long range language learning goals, this information having been entered at the time of the test administration.

The effect of short-term feedback has been gratifying. The list of benefits is long. Our students have expressed interest in the plan of departmental testing and have recognized specific needs for additional help. Our instructors determine before the next class period the particular strengths and weaknesses of their students, and students may go to the learning resource center for computer assisted instruction on a number of specific topics. This alone should make language learning in our department a more positive experience. In addition, we have learned much about our program through departmental testing in this way. It has been possible to evaluate teaching performance and adjust assignments accordingly. The students of some teachers, for example, consistently score high while others consistently score low, allowing us to identify our best teachers. The same benefit is apparent in evaluating materials and techniques, as we can recognize difficulties by comparing performance from one semester to

the next. We learn something about group behavior when the tests prove themselves to be more appropriate for some groups than others as indicated by dramatic differences in discrimination indices. Standard deviation differences between sections taught by different teachers tell us something about teaching behavior that cannot always be identified through other means. We expect that more benefits will become apparent as we accumulate data from many groups on several levels over longer periods of time. We anticipate an improved image with our students and the happy consequence of their improved performance as we work to provide them with the learning experiences they need to make the most rapid and comfortable progress possible in developing foreign language skills.

Figure 1

ORAL RATING FORM

I. COMPREHENSION

5. Understands everything; no adjustments in speed or vocabulary are needed.
4. Understands fairly well at normal speed.
3. Understands at slower-than-normal speed with some repetition.
2. Has trouble understanding; frequent adjustments in speed and vocabulary are necessary.
1. Understands only very general conversational subjects at slow speed with frequent repetitions.

II. PRONUNCIATION (Including word accent and sentence pitch)

5. Speaks with few (if any) traces of "foreign accent."
4. Definite accent, but pronunciation understandable.
3. "Foreign accent" necessitates concentrated listening.
2. Many serious errors in pronunciation.
1. Very hard to understand because of accent, stress, and pitch difficulties.

III. GRAMMAR AND WORD-ORDER

5. UsesFrench with few (if any) noticeable errors of grammar or word-order.
4. In general uses "good French," but with occasional grammatical or word-order errors which do not, however, obscure meaning (e.g. "J'aime des legumes").
3. Meaning occasionally obscured by grammatical and/or word-order errors.
2. Frequently needs to rephrase constructions.
1. Errors of grammar and word-order make comprehension quite difficult.

IV. VOCABULARY

5. Native use of vocabulary and "idioms."
4. Rarely has trouble expressing himself.
3. Sometimes uses inappropriate terms.
2. Frequently uses the wrong words.
1. Misuse of words and very limited vocabulary.

V. FLUENCY

5. Speech speed and sentence length are those of a native speaker.
4. Speed of speech only slightly affected by language problems.
3. Speed and length of utterance affected by native language habits.
2. Speed of speech and length of utterance seem strongly affected by language difficulties and limitations or by native language habits.
1. Speed of speech and length of utterance are so far from normal as to make conversation quite difficult.

Figure 2

1. Vous/faire/achats (futur)
2. Marc n'a pas aimé le concert. (replace nouns with pronouns)
3. Aujourd'hui nous faisons le marché. (Hier . . . voyager)
4. Je _____ (travailler), hier, quand vous _____ (arriver).
5. Dites à M. Dubois d'aller au musée.

Rewrite the following sentences using pronouns to replace the underlined noun phrases.

6. Le garçon apporte de la soupe aux autres.

Rewrite the following, using avoir, connaître, or savoir in complete sentences.

7. Vous/les environs de Paris? (imparfait)

Answer the following questions using information in parentheses.

8. Où est ta soeur? (. . . maison)

Figure 3

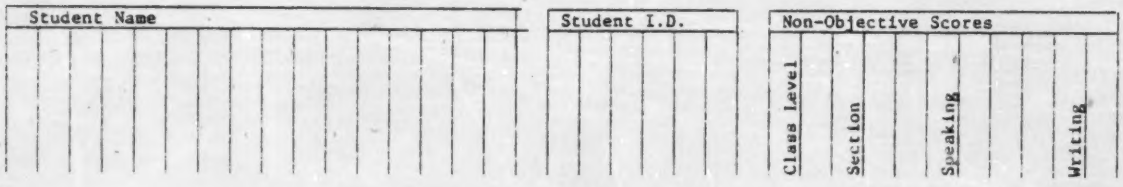


Figure 4

French 101, Test 3 — Level 1, Section 2 — 2-Mar-79

| Name | I.D. No. | List Comp 10 | Read Comp 10 | Irr Verbs 4 | Adj Agree 3 | Y,EN 4 | Sub Tot 55 | Speak | Write | Total | Per Cent |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Doe John | 37543 | 7 | 9 | 3 | 3 | 4 | 43 | 18 | 17 | 78 | 87 |
| Doe Jane | 27658 | 8 | 9 | 3 | 2 | 4 | 44 | 17 | 18 | 79 | 88 |
| Witt Mark | 48962 | 9 | 7 | 4 | 1 | 2 | 39 | 16 | 14 | 65 | 76 |

PRINT-OUTS:

One over-all by I.D. for posting
One by section for teacher copies
One by section for confidential department files

All data are recorded on computer tape for permanent storage

Figure 5

French 101 Test 5, Feb 17 (STAT6) 16-Feb-77

| ITEM | Blank FREQ | Blank PRCT | -A- FREQ | -A- PRCT | -B- FREQ | -B- PRCT | -C- FREQ | -C- PRCT | -D- FREQ | -D- PRCT | DIS |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 0 | 0 | 70* | 45 | 85 | 55 | 0 | 0 | 0 | 0 | -.29 |
| 2 | 58 | 37 | 37* | 24 | 37 | 24 | 14 | 9 | 3 | 2 | .01 |
| 3 | 6 | 4 | 25* | 16 | 121 | 78 | 3 | 2 | 0 | 0 | -.29 |
| 4 | 2 | 1 | 12* | 8 | 11 | 7 | 129 | 83 | 1 | 1 | 0.00 |
| 5 | 1 | 1 | 17 | 11 | 125* | 81 | 12 | 8 | 0 | 0 | .03 |
| 6 | 0 | 0 | 5 | 3 | 128* | 83 | 22 | 14 | 0 | 0 | .39 |
| 7 | 0 | 0 | 2 | 1 | 3 | 2 | 150* | 97 | 0 | 0 | .08 |
| 8 | 1 | 1 | 17 | 11 | 123* | 79 | 14 | 9 | 0 | 0 | .35 |
| 9 | 1 | 1 | 118* | 76 | 26 | 17 | 10 | 6 | 0 | 0 | .32 |
| 10 | 0 | 0 | 29 | 19 | 29 | 19 | 97* | 63 | 0 | 0 | .23 |
| 11 | 1 | 1 | 24 | 15 | 102* | 66 | 28 | 18 | 0 | 0 | .48 |
| 12 | 0 | 0 | 142* | 92 | 5 | 3 | 8 | 5 | 0 | 0 | .05 |
| 13 | 1 | 1 | 9 | 6 | 5 | 3 | 140* | 90 | 0 | 0 | .04 |
| 14 | 2 | 1 | 68 | 44 | 49 | 32 | 36* | 23 | 0 | 0 | .10 |
| 15 | 1 | 1 | 13 | 8 | 30* | 19 | 111 | 72 | 0 | 0 | .01 |
| 16 | 0 | 0 | 27 | 17 | 13 | 8 | 114* | 74 | 1 | 1 | .30 |
| 17 | 2 | 1 | 24 | 15 | 86* | 55 | 43 | 28 | 0 | 0 | .02 |
| 18 | 0 | 0 | 3 | 2 | 141* | 91 | 11 | 7 | 0 | 0 | .04 |
| 19 | 1 | 1 | 50 | 32 | 68 | 44 | 36* | 23 | 0 | 0 | .19 |
| 20 | 0 | 0 | 73* | 47 | 59 | 38 | 23 | 15 | 0 | 0 | .17 |
| 21 | 1 | 1 | 139* | 90 | 15 | 10 | 0 | 0 | 0 | 0 | .04 |
| 22 | 0 | 0 | 69 | 45 | 86* | 55 | 0 | 0 | 0 | 0 | .20 |
| 23 | 3 | 2 | 117* | 75 | 35 | 23 | 0 | 0 | 0 | 0 | .02 |
| 24 | 0 | 0 | 141* | 91 | 14 | 9 | 0 | 0 | 0 | 0 | .04 |
| 25 | 0 | 0 | 126* | 81 | 29 | 19 | 0 | 0 | 0 | 0 | .03 |
| 26 | 1 | 1 | 3 | 2 | 150* | 97 | 1 | 1 | 0 | 0 | .08 |
| 27 | 0 | 0 | 1 | 1 | 5 | 3 | 1 | 1 | 148* | 95 | .06 |
| 28 | 1 | 1 | 11 | 7 | 15 | 10 | 123* | 79 | 5 | 3 | .35 |
| 29 | 1 | 1 | 11 | 7 | 11 | 7 | 132* | 85 | 0 | 0 | .03 |
| 30 | 0 | 0 | 98* | 63 | 24 | 15 | 33 | 21 | 0 | 0 | .24 |
| 31 | 0 | 0 | 3 | 2 | 134* | 86 | 17 | 11 | 1 | 1 | .04 |

Figure 6

French 101 Test 1 (STATS) Level 1 Section 1 2-Mar-79

| Part | Total Group Mean | Total Group S.D. | Total Group N | Parameter B Mean | Parameter B S.D. | Parameter B N | Parameter A Mean | Parameter A S.D. | Parameter A N |
|---|---|---|---|---|---|---|---|---|---|
| PRT-I | 7.914 | 1.663 | 35 | 8.190 | 1.562 | 21 | 7.500 | 1.722 | 14 |
| PRT-II | 1.853 | 0.354 | 34 | 1.905 | 0.294 | 21 | 1.769 | 0.421 | 13 |
| PRT-III | 3.441 | 0.847 | 34 | 3.524 | 0.794 | 21 | 3.308 | 0.910 | 13 |
| PRT-IV | 2.886 | 0.318 | 35 | 2.857 | 0.350 | 21 | 2.929 | 0.258 | 14 |
| PRT-V | 1.629 | 0.483 | 35 | 1.667 | 0.471 | 21 | 1.571 | 0.495 | 14 |
| PRT-VI | 1.000 | 0.000 | 35 | 1.000 | 0.000 | 21 | 1.000 | 0.000 | 14 |
| PRT-VII | 3.794 | 1.183 | 34 | 3.667 | 1.208 | 21 | 4.000 | 1.109 | 13 |
| PRT-VIII | 1.000 | 0.000 | 33 | 1.000 | 0.000 | 20 | 1.000 | 0.000 | 13 |
| PRT-IX | 2.629 | 0.483 | 35 | 2.619 | 0.486 | 21 | 2.643 | 0.479 | 14 |
| PRT-X | 2.829 | 0.446 | 35 | 2.762 | 0.526 | 21 | 2.929 | 0.258 | 14 |
| PRT-XI | 7.457 | 1.380 | 35 | 7.762 | 1.477 | 21 | 7.000 | 1.069 | 14 |
| PRT-XII | 0.000 | 0.000 | 0 | 0.000 | 0.000 | 0 | 0.000 | 0.000 | 0 |
| TOTAL 1 | 36.114 | 4.615 | 35 | 36.905 | 4.503 | 21 | 34.929 | 4.527 | 14 |
| SCR-XII | 0.000 | 0.000 | 0 | 0.000 | 0.000 | 0 | 0.000 | 0.000 | 0 |
| SCR-XIV | 17.543 | 2.534 | 35 | 17.857 | 2.569 | 21 | 17.071 | 2.404 | 14 |
| TOTAL 2 | 53.657 | 6.761 | 35 | 54.762 | 6.732 | 21 | 52.000 | 6.459 | 14 |

# TESTING READING PROFICIENCY IN A FOREIGN LANGUAGE

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During the past few decades the testing of reading proficiency in foreign language programs has received far more attention than any of the other skills. This is a curious situation indeed, especially in view of the fact that the teaching of reading was all but ignored during the audio-lingual period, and it has not regained the position of prominence it enjoyed prior to World War II. Today reading is certainly not considered to be more important than speaking, listening, or writing. Reading tests have been so successful in capturing more than their share of the spotlight because they are easy to produce and they generally appear to be valid measurement instruments. Reading lends itself well to a standardized objective test format, and there is no need for any special equipment to administer or score the test.

As we take a closer look at the testing of reading, however, we can soon see that the issue is not as simple and well defined as it first appears. It is important to observe closely the process of reading in a foreign language, then ask the question: Do reading tests really measure reading proficiency? What are the skills required to read and understand written language, and how can these skills be measured?

It is often assumed that if test stimuli are in a printed format, i.e. if they must be read by the examinee, then the test measures reading proficiency. Some tests, however, measure only specific points in the language that pertain to all skills. Some reading tests contain so many other variables in addition to reading that the original purpose is often obscured. In addition to measuring reading ability, a test may measure logic, memory, knowledge of the real world, and just plain test taking ability. A low score on a reading test may thus reflect deficiencies in areas other than reading. It is also frequently assumed that reading in a foreign language consists primarily of recognizing words and structures. A test of reading ability should therefore consist of discrete vocabulary and grammar items. But reading involves more than just dealing with vocabulary and structure, and what is more, it is possible to read and understand a text without knowing every word or having a complete mastery of all grammatical and morphological structures.

In designing a test of reading proficiency it is important to keep in mind that reading is a receptive skill. Note that I do not use the word "passive," as reading requires a good deal of active participation. Certain structures in foreign languages are difficult to master for speaking, but pose little or no problem for comprehension. In German, for example, it is possible for a student to recognize and understand the preterite forms of strong verbs such as ging, liess, and sprach but not to produce them correctly. Some morphological forms which cause problems for speaking and writing are almost totally redundant for reading and can be pretty much ignored, e.g. German adjective endings. It should not be necessary in a testing of reading to dwell on such structures. It is assumed that in any real reading passage the correct form will appear. A reading test should recognize the characteristics of the modality so that the test simulates to the degree possible the actual task of reading.

One thorny problem that afflicts all language testing is that of purity, with regard either to the strict use of the target language or the strict use of one modality. If the response to a reading test item is in the target language, it may be incorrect not because the stimulus was not understood, but because the examinee was not able to understand the correct alternative. This is usually referred to as double jeopardy. On the other hand, if it is written in the native language, the shift from language A to language B may introduce other variables which affect the correctness of the response. Some reading tests require a written response. Again, the stimulus may be understood, but the answer is nonetheless wrong because the examinee was unable to formulate the correct answer. Purity in language testing simply has to be accepted as one of the inherent problems in testing and dealt with in the best way possible.

The three types of reading test items that have gained the greatest popularity over the past years are: (1) Item Completion (Have you had a _____ to look at the paper yet? a. time b. chance c. luck d. courage); (2) Logical Rejoinder (I wish you could be there tomorrow. a. Yes, I'm really looking forward it it. b. It was very pleasant. c. It's simply not possible. d. He told me that he would.); and (3) Passage Comprehension (a passage is read by the examinee, after which several content questions are asked about the passage). These item types have proven to be very useful in measuring reading proficiency, and I'm certain that we will see them on tests for many years in the future. I do not wish to take time now to discuss them, but rather I would like to deal with some other approaches to the testing of reading that have come to my attention in recent years.

The testing technique that has attracted the greatest amount of attention recently is the cloze procedure. It can, of course, be argued that a cloze test is not a measurement of reading at all, but rather a measurement of general language proficiency. Furthermore, because the examinee is required to write in words, it can be said to be a production as well as a recognition test. These criticisms notwithstanding, the cloze procedure appears to be the best device for measuring sensitivity to discourse constraints, an ability which is very basic to reading proficiency. Even reading tests which include passages longer than a single sentence do not test the ability to relate the sentences to each other, i.e. the items are rather independent. In a cloze test, on the other hand, the answer to one item may depend on information in several other places in the passage.

Recent variations of the cloze test have produced formats that are tests of receptive ability only. The most obvious one is the multiple-choice cloze, in which every nth word is not omitted, but rather it becomes one of four alternatives. All other constraints remain the same, i.e. the first and last paragraph remain intact and the words are deleted in a regular pattern without regard for importance or part of speech. The distractors may be manufactured by the teacher, or they may be selected from incorrect responses that were written on a traditional administration of the cloze passage.

The level of a cloze test can be controlled to some extent by the types of distractors that are used. Distractors which are incorrect for grammatical and syntactic reasons can be used at the elementary level. At the intermediate level grammatically correct but semantically inappropriate distractors can be used. At the higher levels style and register differences can be exploited.[1] It should be pointed out that the cloze procedure should be used with caution, as students sometimes find it to be irritating especially at the beginning level. But it can be a very powerful device in assessing reading proficiency and has proven its worth in many testing experiments.

A reading test which is the converse of the cloze procedure is the editing task. Instead of omitting words, words are added to a passage, but not in regular intervals. The idea is for the examinee to locate the extraneous words and omit them. The score for the test is determined not only on the basis of how many extraneous words are correctly identified, but also on how many are missed and how many legitimate words are incorrectly crossed out. Like the cloze procedure, the editing task forces the examinee to deal with discourse, and not just isolated words and phrases. Studies have shown that it can be an efficient and valid means to measure certain aspects of reading proficiency.[2]

A simple reading task that I have found useful is an open question to which the examinee responds in his native language. The response is considered correct if the answer relates logically to the question. Obviously "yes-no" questions cannot be used, and any question must require a fairly specific answer. For example, "Was für Musik hören Sie gern?," "Was haben Sie heute abend vor?," "Wer soll der nächste Präsident der Vereinigten Staaten sein?" are questions that can be used in German. For factual questions, e.g. "Wie heisst der deutsche Bundeskanzler?," an extended "I don't know. . . ." is acceptable.

The Passage Comprehension item (see above) is useful because it requires a response on the basis of a rather large amount of extended text. The same purpose can be achieved, however, using an open response. The examinee reads a passage, then answers one or more questions (in the native language) on the basis of the passage. Personally I have found that it is better to use shorter passages with just one or two questions than longer passages with several questions. In longer passages the question (stimulus) for one item can sometimes give away the answer to another one. Like the open questions, it is important to phrase the items so that specific responses are required. Students delight in arguing that their answer makes perfectly good sense.

For certain reading purposes it is not necessary to understand in detail everything in the text, but rather to get a general idea of the main facts. A test to measure the ability of an examinee to get the gist of a text would include questions that do not require detailed information. For example, the passage might be a review of a concert. Questions might include, "Did the reviewer like the concert or not?," "Which piece did she think was the weakest?," "What were the high points?," "How did she feel about the soloists?" This task can be accomplished without a complete understanding of the text. Another task might be to have the examinee read the abstract of an article in a professional journal, and state in a few words which topic within the given field is being treated, e.g. generative phonology of modern French, irregularities of weak verbs in Gothic, etc. Such tasks come very close to actual language needs.

In the context of a foreign language program there are really two vastly different types of reading activities. The traditional view of reading deals with materials such as literature, newspapers, scientific prose, etc. Here we are dealing with a rather long and coherent text that contains many interrelated ideas. The sentences of the text produce a well-formed conceptual hierarchy. The other kind of reading involves communicative activities that are very different from literary, scientific, or journalistic prose, e.g. reading signs, menus, timetables, advertisements, brochures, directions, etc. These kinds of reading situations are very important to the person who finds himself in the culture in which the language is used, but they are seldom found on reading tests. (As a matter of fact they are rarely found in language texts.)

Valette[3] points out that in many reading situations the reader is looking for specific information, e.g. "What will the weather be like tomorrow?," "What are the hours of the art museum on Sunday?," "How long does the city tour last, where does it begin, what does it include, and how much does it cost?" She suggests that an examinee be given a tourist brochure and several questions based on its contents.

A reading test technique that is becoming more and more popular is also one that has been around for many generations, viz. target language to native translation. Although translation testing was out of favor for a period, it seems to be regaining its respectability. The translation test offers several attractive advantages. (1) Because the examinee has little latitude in formulating an answer, the precise strengths and weaknesses are quite apparent. If a word is not known, then it is not possible to give the correct English meaning. If a grammatical structure is not understood, it will probably be obvious in the translation. (2) A translation is probably the most direct test of reading ability. Although both the target language and the native language are used, a translation is a very direct response to the printed

stimulus. (3) Translation affords the possibility of testing certain features of the language that are difficult if not impossible to test in any other way. In German, for example, the recognition of past tense forms, passive voice, subjective use of modal verbs, and many idiomatic expressions are easily tested using translation. (4) Because translation passages provide a natural context, the examinee can exploit the redundancy in the passage to infer the meaning of words he may not otherwise know. If all but one word in a sentence is understood, the meaning of the one word can sometimes be inferred on the basis of the context.

The shortcomings of translation testing should also be pointed out, not the least of which is the fact that it can be difficult to score. Just a few sentences can contain literally hundreds of potential errors, ranging in importance from insignificant (e.g. spelling) to critical. A teacher must devise a consistent and reliable method for scoring translations, so that the students' scores reflect their true ability to read and understand. A second problem with translation testing results from the added burden of having to render the material in the native language. It is very possible that the examinee understands the sentences in the target language perfectly well, but simply cannot find the appropriate words in the native language. Another problem inherent in translation testing is that it discriminates against students whose native language is other than the standard of the class. A native speaker of Thai in an American University German class may be able to understand the German, but not be able to produce respectable English. Overall, however, I feel that the advantages of translation testing far outweigh the disadvantages, and I personally use it frequently in my testing program.

In conclusion I would like to say that perhaps the most important consideration in constructing a valid and useful reading test is diversity. No single item type is sufficient in providing information about an examinee's ability to read and understand a foreign language. A test must be balanced, with several different approaches to the measurement. This is not to say that a test should be a potpourri of many kinds of item types without regard for the real purpose for which the test is being given. Rather the teacher should carefully choose a few item types on the basis of what the test is supposed to accomplish. At all times the fundamental question that must be asked is, does the test really measure the students' ability to read?

## Notes

[1] D. Porter, "Modified Cloze Procedure: A More Valid Reading Comprehension Test," English Language Teaching, 30 (1976), 152.

[2] J. Donald Bowen, The Identification of Irrelevant Lexical Distractors (paper presented at the TESOL Annual Convention, Miami, April, 1977).

[3] Rebecca Valette, Modern Language Testing (New York: Harcourt Brace Jovanovich, 1977), p. 203.